

COMMONWEALTH OF MASSACHUSETTS

KEVIN BRIDGEMAN,  
YASIR CREACH, and  
MIGUEL CUEVAS,

Petitioners,

v.

DISTRICT ATTORNEY FOR SUFFOLK  
COUNTY and  
DISTRICT ATTORNEY FOR ESSEX  
COUNTY,

Respondents.

SUPREME JUDICIAL COURT FOR  
SUFFOLK COUNTY  
DOCKET NO.:

**RECORD APPENDIX FOR PETITIONERS  
BRIDGEMAN, CREACH, and CUEVAS**

KEVIN BRIDGEMAN,  
YASIR CREACH, and  
MIGUEL CUEVAS,  
By Their Attorneys

Daniel N. Marx, BBO #674523  
Christopher E. Hart, BBO#625031  
Daniel McFadden, BBO #676612  
Caroline S. Donovan, BBO #683274  
Shrutih V. Ramlochan-Tewarie,  
BBO #685467  
Foley Hoag LLP  
155 Seaport Boulevard  
Boston, MA 02210  
(617) 832-1000  
(617) 832-7000 (fax)  
dmarx@foleyhoag.com  
chart@foleyhoag.com  
dmcfadden@foleyhoag.com  
cdonovan@foleyhoag.com  
stewarie@foleyhoag.com

Dated: January 9, 2014

Matthew R. Segal, BBO #654489  
Carlton E. Williams, BBO #600973  
American Civil Liberties Union  
Foundation of Massachusetts  
211 Congress Street  
Boston, MA 02210  
(617) 482-3170  
msegal@aclum.org  
cwilliams@aclum.org

Emma A. Andersson, CA #260637  
Ezekiel R. Edwards, NY #4189304  
Criminal Law Reform Project  
American Civil Liberties Union  
125 Broad Street, 18<sup>th</sup> Floor  
New York, NY 10004  
(212) 284-7365  
eandersson@aclu.org  
eedwards@aclu.org

## RECORD APPENDIX

### TABLE OF CONTENTS

#### Affidavits

Affidavit of Kevin Bridgeman.....	R 1
Affidavit of Yasir Creach.....	R 6
Affidavit of Miguel Cuevas.....	R 9
Affidavit of Joseph Griffin.....	R 13
Affidavit of Paul Carrigan.....	R 18
Affidavit of Amy Jo Freedman .....	R 23
Affidavit of Lawrence McGuire.....	R 26
Affidavit of Anne Goldbach .....	R 31
A. Corrective Action Report Form for March 18, 2004 .....	R 70
B. Memorandum of Steven Chilian to John Auerbach, dated February 29, 2012 .....	R 73
C. Executive Summary, Hinton Laboratory Drug Lab Internal Inquiry .....	R 79
D. Overview [Gas Liquid Chromatography/Mass Spectrometry (GLS/MS)] .....	R 94
E. Boston Drug Laboratory GC/MS Protocol .....	R 114
F. Report of Det. Lt. Irwin to Lt. Col. Francis, Interview of Daniel Renczowski, August 21, 2012 .....	R 134
G. Report of Det. Lt. Irwin to Lt. Col. Matthews,	



Interview of Peter Piro, August 27, 2012 .....	R 140
H. Report of Det. Lt. Irwin Interview to Lt. Col. Matthews, Interview of Nicole Medina, August 28, 2012 .....	R 145
I. Excerpted emails between A. Dookhan, Hinton Lab, prosecutors, and law enforcement .....	R 148
J. International Standard ISO/IEC 17025 (2d ed. 2005) .....	R 190
K. Excerpt from French and Electric Blue, "Crime Lab: Past, Present, and Future," March 2013 .....	R 227
Affidavit of Nancy Caplan .....	R 231
A. David E. Meier, Final Report to Governor Deval Patrick, The Identification of Individuals Potentially Affected by the Alleged Conduct of Chemist Annie Dookhan at the Hinton Drug Laboratory, August 2013 .....	R 246
Affidavit of Anthony Benedetti .....	R 268
A. Affidavit of Anthony J. Benedetti in Support of Committee for Public Counsel Services' Motion to Intervene, in Commonwealth v. Charles and Commonwealth v. Milette, dated March 12, 2013 .....	R 275
Affidavit of Thomas Workman.....	R 289
A. Chart, Comparing Average Monthly Weight for Samples, Dookhan v. Others .....	R 308

Affidavit of Joanna Sandman .....	R 310
Affidavit of Veronica White .....	R 316
A. Letter from First Asst. Attorney General E.R. Bedrosian, Jr. regarding Attorney General's Review of Drug Analysis Conducted at the Hinton Laboratory in Jamaica Plain, dated September 20, 2012 .....	R 326
B. Redacted nolle prosequi, Malden District Court (2013) .....	R 329

**Petitioners' lower court papers and associated documents**

<b>Kevin Bridgeman.....</b>	<b>R 332</b>
-----------------------------	--------------

**2005**

Kevin Bridgeman Superior Court Docket, SUCR2005-10537.....	R 333
Two (2) certificates of drug analysis for Kevin Bridgeman, dated May 10, 2005.....	R 338
Indictments for Kevin Bridgeman, dated June 2, 2005.....	R 340
Pre-trial conference report, dated July 12, 2005.....	R 348
Commonwealth's service of Certificate of Discovery Compliance on Defense Counsel Joseph Griffin, dated July 12, 2005.....	R 351
Kevin Bridgeman's Waiver of Rights, dated October 4, 2005.....	R 367

**2007**

Kevin Bridgeman Superior Court Docket, SUCR2007-10959.....	R 368
Two (2) certificates of drug analysis for Kevin Bridgeman, dated August 16, 2007.....	R 373
Minutes of the Grand Jury, September 24, 2007.....	R 375
Indictments for Kevin Bridgeman, dated September 24, 2007.....	R 392
Commonwealth's Notice of Discovery, dated November 26, 2007.....	R 397
Commonwealth's Statement of the Case, dated November 23, 2007.....	R 398
Commonwealth's List of Potential Witnesses, dated November 26, 2007.....	R 399
Pre-Trial Conference Report, dated January 28, 2008.....	R 401
Motion for Specific Discovery, dated March 24, 2008.....	R 404
Motion for Bill of Particulars, dated March 24, 2008.....	R 406
Motion for Access to View Monitoring Device, dated March 24, 2008.....	R 408
Motion to Suppress Evidence Illegally Seized, dated March 24, 2008.....	R 410
Motion for Exculpatory Evidence, dated March 24, 2008.....	R 412
Motion for Specific Discovery (Training Materials, etc. dated March 24, 2008.....	R 414
Motion for Access to View Evidence, dated March 24, 2008.....	R 416
Waiver of Rights, dated	

April 17, 2008.....R418

Motion to be declared indigent,  
dated November 12, 2012.....R 420

**Yasir Creach .....R 425**

Yasir Creach Boston Municipal  
Court, Central Div. Docket Sheet,  
0501 CR 0142.....R 426

Application for complaint,  
dated January 7, 2005.....R 428

Arrest booking form, dated  
January 7, 2005.....R 430

Complaint, dated January 18, 2005.....R 431

Incident report form.....R 432

Two (2) certificates of drug  
analysis for Yasir Creach,  
dated February 2, 2005.....R 434

Notice of assignment of counsel,  
dated February 24, 2005.....R 436

Drug receipt, dated  
February 8, 2006.....R 437

Tender of plea for Yasir Creach,  
dated April 20, 2005.....R 438

**Miguel Cuevas.....R 440**

Miguel Cuevas Superior Court Docket,  
ESCR2007-01535.....R 441

Request for Warrant.....R 448

Four (4) certificates of drug  
analysis for Miguel Cuevas,  
dated September 14, 17 and 18, 2007.....R 449

Grand jury minutes, October 5, 2007.....	R 453
Indictments for Miguel Cuevas, dated October 5, 2007.....	R 476
Notice of Appearance Julie Buszuwski, dated November 28, 2007.....	R 488
Order for the Transmittal of Bail, dated November 29, 2007.....	R 489
Discovery Index, dated November 28, 2007.....	R 491
Cash Bail Received, dated July 13, 2007.....	R 492
Order of Notice to Show Cause Forfeiture of Bail, dated January 28, 2008.....	R 497
Notice of Recall of Warrant.....	R 498
Defendant Held Without Bail, dated May 19, 2008.....	R 499
Motion for Funds for Spanish Speaking Investigator, Allowed June 20, 2008.....	R 500
Committee for Public Counsel - Lawrence J. Maguire Appointed, dated July 15, 2008.....	R 502
Scheduling Order, dated August 4, 2008.....	R 503
Motion for Automatic Discovery Disclosure of Identification Procedures, dated August 4, 2008.....	R 504
Motion for Discovery concerning Laboratory Testing, dated August 4, 2008.....	R 507
Motion for Reports concerning Chain of Custody Evidence, dated August 4, 2008.....	R 509

Letter from Charles Salemi to Essex County District Attorney's Office enclosing information relating to drug analyses, dated August 25, 2008 .....	R 511
Drug powder analysis forms .....	R 561
Motion to Suppress Identification, dated November 18, 2008.....	R 570
Waiver of Miguel Cuevas's Rights, dated January 30, 2009.....	R 578
Defendant Sentenced on Indictment ESCR2007-1535 001, dated January 30, 2009.....	R 581
Defendant Sentenced on Indictment ESCR2007-1535 002, dated January 30, 2009.....	R 583
Defendant Sentenced on Indictment ESCR2007-1535 003, dated January 30, 2009.....	R 585
Defendant Sentenced on Indictment ESCR2007-1535 004, dated January 30, 2009.....	R 587
Sentenced Stayed until February 4, 2009, January 30, 2009.....	R 589
Victim/Witness Assessment, dated January 30, 2009.....	R 591
Supplemental Motor Vehicle Assessment, dated January 30, 2009.....	R 592
Motion to Revoke and Revise Sentence, dated February 18, 2009.....	R 593
Defendants Motion for Jail Credits and Issuance of Corrected Mittimus, dated April 27, 2009.....	R 595

Irwin Memo Re Dookhan Statement, dated September 12, 2012.....	R 599
Defendant's Motion to be Declared Indigent, dated September 28, 2012.....	R 601
Miguel Cuevas's Motion to Withdraw Guilty Plea, and affidavit of counsel, dated October 15, 2012.....	R 607
Miguel Cuevas's Motion for Post-Conviction Discovery, dated October 15, 2012.....	R 630
Miguel Cuevas's Motion for Stay of Execution of Sentence, dated October 15, 2012.....	R 633
Commonwealth's Opposition to the Defendant's Motion to Stay Execution of Sentence, dated November 9, 2012.....	R 636
Motion for Discovery re: Examination-Testing of Alleged Narcotics, filed October 3, 2013.....	R 638
<b><u>Annie Dookhan prosecution</u></b> .....	R 642
Probable Cause Statement submitted to the Suffolk County District Attorney's Office by Massachusetts State Police Detective Lieutenant Robert M. Irwin, released November 12, 2012.....	R 643
Annie Dookhan Superior Court Docket Sheet, SUCR2012-11155.....	R 645
Indictments for Annie Dookhan, Dated December 17, 2012.....	R 654
Commonwealth's Statement of the Case, dated December 20, 2012.....	R 681
Commonwealth's Memorandum of Law In Opposition to Defendant's Motion to Dismiss, dated May 31, 2013.....	R 686

Commonwealth's Sentencing Memorandum, dated October 17, 2103.....	R 697
Sentencing Decision re- Proposed Guilty Plea, dated October 23, 2013.....	R 706
<b><u>Miscellaneous</u></b> .....	R 709
Press Release, Governor Patrick Announces Inspector General Glenn Cunha to Take Over Drug Lab Review, dated November 5, 2012.....	R 710
Order of the Supreme Judicial Court, Concerning the handling of matters related to allegations of misconduct at the Hinton Lab, dated November 9, 2012.....	R 711
Testimony of Anthony Benedetti, Chief Counsel of the Committee for Public Counsel Services, presented to the Legislature regarding the Hinton Lab crisis on December 12, 2012.....	R 712
L. Krantz, "After Dookhan, backlog burdens Sudbury drug lab," The MetroWest Daily News, March 10, 2013, available at <a href="http://www.metrowestdailynews.com/news/x1522335818/After-Dookhan-backlog-burdens-Sudbury-drug-lab">http:// www.metrowestdailynews.com/news/ x1522335818/After-Dookhan-backlog- burdens-Sudbury-drug-lab</a> .....	R 717
Angel Rodriguez docket sheet, ESCR2007-00875.....	R 719
Essex District Attorney's Office, Press Release, "Dookhan" Defendant Convicted of Trafficking Cocaine, Nov. 12, 2013, available at <a href="http://www.mass.gov/essexda/media/press-releases/dookhan-defendant-convicted-of-trafficking-cocaine.html">http:// www.mass.gov/essexda/ media/press- releases/dookhan-defendant-convicted- of-trafficking-cocaine.html</a> .....	R 729



W. Talbor, "Dookhan defense fails  
For city drug trafficker," The Eagle  
Tribune, November 12, 2013, available  
at [http://www.eagletribune.com/  
latestnews/ x1442606115/  
Dookhan-defense-fails-for-city-drug-  
trafficker/](http://www.eagletribune.com/latestnews/x1442606115/Dookhan-defense-fails-for-city-drug-trafficker/).....R 731

M.J. Valencia and J.R. Ellement,  
"State fires chemist after probe  
casts doubt on credentials," The  
Boston Globe, November 26, 2013,  
available at [http://www.bostonglobe.com/  
metro/2013/11/26/chemist-related-  
dookhan-case- fired-for-  
allegedly-misstating-credentials/  
HhWnT898pjWVJgdAKSnUWJ/  
story.html](http://www.bostonglobe.com/metro/2013/11/26/chemist-related-dookhan-case-fired-for-allegedly-misstating-credentials/HhWnT898pjWVJgdAKSnUWJ/story.html).....R 733

**Provided via CD to the Court:**

- Disclosure 2, "AGO State Lab Investigation"
- Disclosure 3, including Hinton Laboratory Drug Lab Internal Inquiry
- Disclosure 9, March 18, 2013 J. Verner letter, with reports and photographs

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEY for Suffolk  
and County, et al.,

Respondents.

DECLARATION OF KEVIN BRIDGEMAN

I, Kevin Bridgeman, hereby depose and swear as follows:

1. I am a resident of Boston, Massachusetts.
2. I am a disabled person collecting Social Security Disability Insurance benefits.
3. Prior to my disability, in 2004, I worked as cook at Jules Catering of Boston for.
4. I attended Newbury College from 1989 until 1989.
5. Since 1996, I have been a member and volunteer with Span, Inc. working to support formerly incarcerated people.

### 2005 Charges

6. In April, 2005, I was arrested by the Boston Police Department near the Wang Theatre. The police alleged that I sold an undercover officer two rocks of a substance resembling crack cocaine. They alleged that they recovered additional rocks from my person upon arrest. They also alleged that I struggled with and struck one of the plainclothes officers who attempted to restrain me.
7. In June, 2005, the grand jury returned indictments for possession of cocaine with intent to distribute (second offense), possession of cocaine with intent to distribute within 1,000 feet of a school, distribution of cocaine (second offense), distribution of cocaine within 1,000 feet of a school, assault on a police officer, and resisting arrest.
8. In October, 2005, I pled guilty to possession of a Class B controlled substance with intent to distribute (first offense), distribution of a Class B controlled substance (first offense), assault on a police officer, and resisting arrest. The remaining charges were dismissed on motion of the Commonwealth.

9. I was sentenced to two to three years' incarceration and three years' probation for the remaining charges. I have completed this sentence.

**2007 Charges**

10. In July, 2007, I was arrested by the Boston Police at the Boston Public Gardens. The police alleged that I sold an undercover officer two rocks of a substance resembling crack cocaine. They alleged that they recovered additional rocks from my person upon arrest.
11. In September, 2007, the grand jury returned indictments for possession of cocaine with intent to distribute (second offense), possession of cocaine with intent to distribute within 1,000 feet of a public park, and distribution of cocaine (second offense).
12. In April, 2008, I pled guilty to possession of cocaine with intent to distribute and distribution of cocaine, both without a mandatory minimum for second offense. The remaining charge was dismissed on motion of the Commonwealth.
13. I was sentenced to three to five years' incarceration. I have completed this sentence.

Annie Dookhan

14. When I pled guilty to these charges, I was not aware that one of the chemists who tested the alleged drug samples in these cases, Annie Dookhan, had systematically failed to follow the required testing procedures, failed to provide truthful drug certifications and testimony, and had, in some cases, altered test results to manufacture positive results.
15. Had I known about the misconduct in the drug lab prior to my pleas, I would certainly have consulted with my attorney concerning whether pleas were appropriate.
16. Had I know about the misconduct in the drug lab prior to my plea, it is reasonably probable that I would have gone to trial or tried to negotiate a different agreement with the Commonwealth. It is also reasonably probable that I would have sought dismissal of the indictments because the tainted drug certifications were presented to the grand jury.
17. I am concerned that if I seek to withdraw my guilty plea or otherwise vacate my conviction on the basis of Ms. Dookhan's misconduct, I could be prosecuted for the serious charges which the Commonwealth moved to dismiss and be sentenced to a longer prison term.

Sworn to this 30 day of December 2013 under the pains and penalties of perjury.

/s/ Kevin Bridgeman  
Kevin Bridgeman

B4205744.1

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

YASIR CREACH and others,

Petitioners,

v.

DISTRICT ATTORNEYS for Suffolk  
and Essex Counties,

Respondents.

**DECLARATION OF YASIR CREACH**

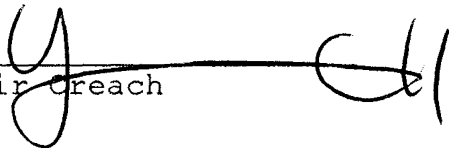
I, Yasir Creach, hereby depose and swear as follows:

1. I am a resident of Boston, Massachusetts.
2. On January 7, 2005, I was arrested and charged with trespassing and possession of a substance alleged to be crack cocaine.
3. According to a drug certificate produced to me by the Commonwealth, Assistant Analysts Annie Dookhan and Daniela Frasca swore on February 2, 2005, that the substance submitted by police in connection with my case was examined and found to be cocaine.

4. On April 20, 2005, I pled guilty to possession of a Class B substance and was sentenced to one year in the House of Correction, concurrent with a sentence in a separate case.
5. When I pled guilty, I based my decision in part on my understanding that the Commonwealth had tested an alleged drug sample in my case and gotten a positive result.
6. When I pled guilty, I was not aware that one of the chemists assigned to test the alleged drug sample in my case, Annie Dookhan, had systematically failed to follow the required testing procedures, failed to provide truthful drug certifications and testimony, and had, in some cases, altered test results to manufacture positive results.
7. Had I known about the misconduct in the drug lab prior to my guilty plea, I would certainly have consulted with my attorney concerning whether a plea was appropriate.
8. Had I known about the misconduct in the drug lab prior to my guilty plea, it is reasonably probable that I would have gone to trial or tried to negotiate a different agreement with the Commonwealth.



Sworn to this 30<sup>th</sup> day of December 2013 under the pains and penalties of perjury.

/s/   
Yasir Creach

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEY for Suffolk  
and County, et al.,

Respondents.

DECLARATION OF MIGUEL CUEVAS

I, Miguel Cuevas, hereby depose and swear as follows:

1. I am a resident of Salem, Massachusetts.
2. I work full time as warehouse employee for Kohl's Department Stores.
3. I am active in my community and regularly take part in charitable events, such as this year's Komen Race for the Cure.
4. In June, 2007, I was arrested by the Salem Police Department. The police alleged that, on three occasions in January, 2007, I sold plastic bags containing a white powder resembling cocaine within

B4206462.3

1,000 feet of a school. The police additionally alleged that on one of those occasions, I also sold a plastic bag of brown powder resembling heroin within 1,000 feet of a school.

5. In October, 2007, the grand jury returned indictments alleging three counts of distribution of cocaine (second offense) and one count of distribution of heroin (second offense).
6. In January, 2009, I pled guilty to three counts of cocaine distribution and one count of heroin distribution. The Commonwealth did not prosecute those portions of the charges alleging a second offense enhancement.
7. I was sentenced to four and a half to five years' incarceration. That sentence is completed.
8. When I pled guilty to these charges, I was not aware that one of the chemists who tested the alleged drug samples in my case, Annie Dookhan, had systematically failed to follow the required testing procedures, failed to provide truthful drug certifications and testimony, and had, in some cases, altered test results to manufacture positive results.
9. When I pled guilty, I was not aware that another of the chemists who tested the alleged drug samples in my

case, Kate Corbett, had falsely testified concerning her credentials in state and federal court.

10. Had I known about the misconduct in the drug lab prior to my pleas, I would certainly have consulted with my attorney concerning whether pleas were appropriate.
11. Had I know about the misconduct in the drug lab prior to my plea, it is reasonably probable that I would have gone to trial or tried to negotiate a different agreement with the Commonwealth. It is also reasonably probable that I would have sought dismissal of the indictments because the tainted drug certifications were presented to the grand jury.
12. In October, 2012, my counsel filed on my behalf a motion to withdraw my guilty pleas based on misconduct in the drug lab. That motion remains pending.
13. I am concerned that even if I successfully withdraw my guilty plea or otherwise vacate my conviction, I could be prosecuted for the serious charges which the Commonwealth declined to pursue and be sentenced to a longer prison term. For example, I am aware that another defendant in Essex County successfully withdrew his plea to a based on misconduct in the drug lab, but was re-prosecuted for more serious charges and sentenced to additional time in prison.

Sworn to this 31 day of December 2013 under the pains and penalties of perjury.

/s/   
Miguel Cuevas

B4206462.3

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEY for Suffolk  
County, et al.,

Respondents.

**AFFIDAVIT OF JOSEPH GRIFFIN**

I, Joseph Griffin, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.
2. I was appointed to represent Kevin Bridgeman, in Suffolk Superior Court, on June 7, 2005. Mr. Bridgeman had been indicted for the following: (1) possession with intent to distribute a class B controlled substance, second and subsequent offense under M.G.L. c. 94C, § 32A(b); (2) controlled substance violation within 1,000 feet of a secondary school under M.G.L. c. 94C, § 32J; (3) distribution of

a class B controlled substance, second and subsequent offense under M.G.L. c. 94C, § 32A(b); (4) controlled substance violation within 1,000 feet of a secondary school under M.G.L. c. 94C, § 32J; (5) assault and battery on a police officer under M.G.L. c. 265, § 13D; and, (6) resisting arrest under M.G.L. c. 268, § 32B. He pled not guilty to all charges.

3. In July 2005, the Commonwealth filed its Certificate of Discovery Compliance, and sent me a copy. As part of this discovery, I received minutes from the arresting officers' grand jury testimony, as well as the drug analysis certificates for Mr. Bridgeman's case.
4. The drug analysis certificates indicate that the items seized from Mr. Bridgeman in connection with this matter, were received in the lab on April 14, 2005 and analyzed on May 5, 2005. The drug analysis certificates were sworn to on May 10, 2005, and show that Annie Dookhan was the primary chemist who analyzed substances submitted by the police in connection with Mr. Bridgeman's case. According to the drug certificates, the two substances submitted for testing were examined and found to be cocaine.

5. The grand jury minutes indicated that the grand jury heard testimony from the arresting officers in Mr. Bridgeman's case on May 31, 2005. The prosecutor introduced the drug analysis certificates into evidence at the grand jury, and one of the officers testified that, based on the drug certificates, the drugs were analyzed at the Hinton Lab and found to be cocaine.
6. After receiving the aforementioned discovery, I reviewed the same independently and with Mr. Bridgeman, providing him with copies of all discovery in my possession. Also, as is my practice, I reviewed the elements of each and every offense for which Mr. Bridgeman had been indicted, as well as the maximum penalties for each.
7. After the steps taken in ¶6, and with Mr. Bridgeman's imprimatur, I entered into plea negotiations with the District Attorney's Office. On October 4, 2005, after a lobby conference with the Honorable Justice Carol Ball, I represented Mr. Bridgeman when he pled guilty to possession of a class B controlled substance with intent to distribute, distribution of a class B controlled substance, assault and battery on a police officer, and resisting arrest.

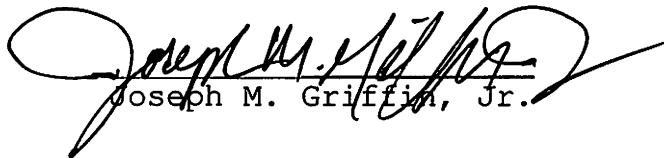


8. As part of the plea, the Commonwealth dismissed those portions of the charges alleging second and subsequent offenses. The Commonwealth also dismissed the school zone charges.
9. Mr. Bridgeman received a sentence of to two to three years' incarceration and three years' probation to begin, "from and after" his period of incarceration.
10. At the time of his plea, I reviewed the discovery with Mr. Bridgeman, as well as the elements required to prove each offense, the drug analysis certificates, and the fact that the Commonwealth was making charge concessions, which resulted in the removal of any mandatory minimum sentences.
11. At the time Mr. Bridgeman entered his plea of guilty in the above matter, I had neither been made aware, nor had it been disclosed to me, that Annie Dookhan, one of the chemists in Mr. Bridgeman's case, had engaged in significant misconduct at the Hinton Lab. None of the specific details, such as: that Ms. Dookhan had batched samples prior to testing, "dry labbed" samples, taken possession of evidence outside the chain of custody, forged other chemists' initials, manipulated tests to obtain positive results, and presented false testimony concerning her work and

credentials, had been made known to me at the time of Mr. Bridgeman's plea.

12. If I had been advised about the improprieties at the Hinton Lab, especially those involving Ms. Dookhan, I would have brought them to the attention of Mr. Bridgeman. Furthermore, I would have demanded further discovery from the Commonwealth, sought judicial review and/or taken a myriad of other steps to address this issue.

Sworn to this 4<sup>th</sup> day of January 2014 under the pains and penalties of perjury.

  
Joseph M. Griffin, Jr.

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEYS for Suffolk  
County, et al.,

Respondents.

**AFFIDAVIT OF PAUL CARRIGAN**

I, Paul Carrigan, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.
2. On December 6, 2007, I was appointed counsel for Kevin Bridgeman. Mr. Bridgeman was charged in Suffolk Superior Court on the following: (1.) possession with intent to distribute a class B controlled substance, second and subsequent offense under G.L. c. 94C, § 32A(b); (2.) controlled substance violation within 100 feet of a public park under G.L. c. 94C, § 32J; and, 3.) distribution of a class B controlled substance,

second and subsequent offense under G.L. c. 94C, § 32A(b). He pled not guilty to these charges.

3. Before my appointment as counsel, the Commonwealth provided its Notice of Discovery on November 26, 2007. I was ultimately provided with the listed discovery materials, which included the grand jury minutes and the drug analysis certificates in Mr. Bridgeman's case.
4. The two drug certificates were dated August 16, 2007. In both Assistant Analysts Daniel Renczkowski and Annie Dookhan swore that the substances submitted by police in connection with Mr. Bridgeman's case were examined and found to be cocaine.
5. The grand jury minutes indicated that, on September 24, 2007, the grand jury heard testimony by an undercover officer who participated in Mr. Bridgeman's arrest. The officer testified that the substances confiscated from Mr. Bridgeman were sent to the state lab for analysis. The prosecutor also introduced as exhibits the two drug certificates, and this same officer testified that the drug certificates showed the drugs were analyzed and tested positive for cocaine.


6. I filed various discovery motions on Mr. Bridgeman's behalf. They included a Motion for Exculpatory Evidence on March 24, 2008, which sought all evidence that might exculpate Mr. Bridgeman, assist in presenting a defense or confronting witnesses at trial, or might otherwise assure him the effective assistance of counsel and a fair trial under the Massachusetts and United States constitutions.
7. During this same time period, I was also engaged in plea negotiations with the District Attorney's Office.
8. On April 17, 2008, Mr. Bridgeman pled guilty to charges (1) and (3), for possession with the intent to distribute and the distribution of a class B controlled substance, both second and subsequent offenses. On April 28, 2008, those charges were amended under M.G.L. c. 94C § 32A(a), which relieved Mr. Bridgeman of a mandatory term of imprisonment.
9. Mr. Bridgeman was sentenced to three to five years of incarceration to be served concurrently with a sentence he was then serving.
10. I advised Mr. Bridgeman that he should consider accepting this plea because he might otherwise face up to 10 year terms for each second and subsequent offense. In addition, the controlled substance

violation within 100 feet of a public park carried a mandatory minimum two-year term of incarceration.

11. When I advised Mr. Bridgeman in relation to this plea deal, I was not aware of the misconduct at the Hinton Drug Lab and the numerous improprieties by Annie Dookhan, including her practice of "dry labbing" samples, combining multiple samples prior to sampling, taking possession of evidence without documenting her possession, or more generally, her complete inability to follow proper protocols for the handling and testing of evidence. I did not know that she had provided false testimony concerning results that she had manipulated, or that she had also testified falsely as to her credentials.
12. Operating without full information, I could not have a truly informed discussion with my client.
13. Had I known of any of these improprieties, I would have advised Mr. Bridgeman differently.
14. I would have sought to dismiss the indictments, because the prosecutor presented the drug certificates to the grand jury.
15. I would have advised my client that he should pursue a more favorable plea agreement with the Commonwealth, and that he should consider the possibility of

proceeding to trial, given the strength of this  
exculpatory and impeachment evidence.

Sworn to this 19th day of December 2013 under the pains and  
penalties of perjury.

  
Paul Carrigan

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

YASIR CREACH, et al.,

Petitioners,

v.

DISTRICT ATTORNEYS for Suffolk  
County, et al.,

Respondents.

AFFIDAVIT OF AMY JO FREEDMAN

I, Amy Jo Freedman, state as follows:

1. I am an adult over the age of eighteen and I am a resident of the Commonwealth of Massachusetts.
2. In 2005, I was an attorney licensed to practice law in the Commonwealth of Massachusetts.
3. In 2005, I represented Yasir Creach on charges of trespass and possession of a class B substance.
4. On April 20, 2005, I was plea counsel to Mr. Creach when he pled guilty to possession of a Class B substance. As a result of his plea, Mr. Creach was



sentenced to one year in the House of Correction,  
concurrent with a sentence in a separate case.

5. As part of the evidence in that case, the Commonwealth produced a drug certificate dated February 2, 2005 in which Assistant Analysts Annie Dookhan and Daniela Frasca swore that the substance submitted by police in connection with Mr. Creach's case was examined and found to be cocaine.
6. At that time, I was not aware of improprieties at the Hinton Lab involving Annie Dookhan. For example, I did not know that she had corrupted samples to assure they tested positive, nor was I was aware that she had failed to follow protocols for proper testing and had provided false statements and testimony.
7. Because I did not have complete information concerning Annie Dookhan, one of the analysts who had tested the sample in Mr. Creach's case, I could not have a fully informed discussion with my client concerning the options available to him.
8. Had I known of the improprieties involving Annie Dookhan, I would have discussed with my client the option of proceeding to trial or securing a more favorable plea with the Commonwealth.

Sworn to this \_\_\_\_\_ day of December 2013 under the pains and penalties of perjury.

A handwritten signature in cursive script, appearing to read "Amy Jo Freedman", written over a horizontal line.

Amy Jo Freedman

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEY for Suffolk  
County, et al.,

Respondents.

AFFIDAVIT OF LAWRENCE J. MCGUIRE

I, Lawrence McGuire, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.
2. I represented Miguel Cuevas beginning in July 2008, on charges in which the Commonwealth obtained indictments in October 2007. Before I became Mr. Cuevas's lawyer, his case was transferred from Salem District Court to Essex Superior Court.
3. Mr. Cuevas was charged in Essex Superior Court with three counts of distribution of a class B controlled substance, second and subsequent offenses under G.L.

c. 94C, § 32A(d), and one count of distribution of a class A controlled substance, second and subsequent offense under G.L. c. 94C, § 32A(b). He pled not guilty to these charges.

4. During discovery, I received drug certificates from the Hinton Lab dated September 14, 2007. The certificates represented that Annie Dookhan and Kate Corbett performed the drug analyses, as, respectively, primary and secondary chemist. They swore that three substances submitted by the police in Mr. Cuevas's case were cocaine and one substance was heroin.
5. On August 4, 2008, I filed various discovery motions on behalf of Mr. Cuevas, including a Motion for Discovery Concerning Laboratory Testing and a Motion for Reports Concerning Chain of Custody Evidence.
6. The Motion for Discovery Concerning Laboratory Testing requested that the Commonwealth disclose the manner in which substances were tested and weighed, the specific tests performed, the testing chemists' notes and reports relating to the substances submitted in Mr. Cuevas's case, the chemists' curriculum vitae, and whether the Commonwealth possessed the drug certificates when it presented its case to the grand jury.

7. During this time period, I was also involved in plea negotiations with the District Attorney's Office.
8. On January 30, 2009, I represented Mr. Cuevas when he pled guilty to three charges of distribution of a class B controlled substance and one charge of distribution of a class A controlled substance.
9. In exchange for his plea, the Commonwealth dismissed those portions of charges alleging a second and subsequent offense, which carried mandatory-minimum sentences.
10. Mr. Cuevas was sentenced to four-and-a-half to five years of incarceration, with reductions for time served and the opportunity for good time credits.
11. I advised Mr. Cuevas that he should consider this plea deal because it avoided the mandatory-minimum sentences that accompanied the second and subsequent offense charges.
12. At the time I advised Mr. Cuevas, I did not know that the primary chemist in his case, Annie Dookhan, had engaged in a litany of misconduct relating to the proper testing and analysis of substances submitted to the Hinton Lab. In particular, I was unaware that she grouped samples prior to testing, "dry labbed" samples, accessed evidence outside the chain of

custody, forged the initials of other chemists, manipulated testing to obtain positive results, and gave false testimony regarding her work and credentials.

13. At the time I advised Mr. Cuevas, I also did not know that the secondary chemist in his case, Kate Corbett, had falsely represented her credentials when testifying in court.
14. Without knowledge of these facts, I could not have a fully informed discussion with my client prior to his plea.
15. I would have advised Mr. Cuevas differently had I known of these improprieties.
16. I would have sought to dismiss the indictments, given the reasonable probability that the grand jury was presented or told about the drug certificates.
17. I would have advised my client to pursue a more favorable plea agreement with the Commonwealth, given the strength of this exculpatory and impeachment evidence.
18. For the same reasons, I would have advised my client to consider proceeding to trial.

Sworn to this 30<sup>th</sup> day of December 2013 under the pains and penalties of perjury.

  
Lawrence J. McGuire

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,  
Petitioners,  
v.  
DISTRICT ATTORNEY for Suffolk  
County, et al.,  
Respondents.

**AFFIDAVIT OF ANNE GOLDBACH**

I, Anne Goldbach, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.

2. I am the Director of Forensic Services at the Committee for Public Counsel Services (CPCS) and I have held this position since 1997.

3. In that capacity, I have been involved in the review and analysis of information and data, and



in the coordination CPCS's institutional response to the misconduct at the Drug Lab in the William A. Hinton State Laboratory Institute ("Hinton Lab").

4. I am submitting this affidavit to set forth information regarding:

a) the two-chemist analysis system that was used at the Hinton Lab and the importance of each chemist's function in drug analysis;

b) Annie Dookhan's work and misconduct as Gas Chromatography-Mass Spectrometry (GC/MS) Chemist in the Hinton Lab;

c) other misconduct and deficiencies at the Hinton Lab as revealed in discovery by the Massachusetts Attorney General's Office provided to my office;

d) the nature of some of the e-mails involving Ms. Dookhan and members of law enforcement as revealed in discovery by the Massachusetts Attorney General's Office, and

e) the lack of accreditation of the Hinton Lab and its failure to conform to basic industry standards for a forensic laboratory.

The Two-Chemist System at the Hinton Lab

5. Discovery documents regarding the Hinton Lab have been provided to my office by the Attorney General's Office and through the District Attorney's offices in a series of numbered disclosures. To date, there have been sixteen (16) numbered disclosures.

6. Discovery documents indicate that, on March 30, 2004, the Hinton Lab instituted a two-chemist system for the forensic analysis of controlled substances. A review of the discovery shows that the Hinton Lab referred to the first chemist as the "primary chemist" and the second chemist as the "confirmatory chemist."

7. On June 28, 2013, our office received discovery disclosure #12, which contained a two-page document entitled "Corrective Action Report Form", and "recorded by" Charles Salemi, Department Supervisor, dated March 18, 2004. The signature of Mr. Salemi as

well as those of the Quality Assurance ("QA") Director, State Lab Director, Program Director, and QA Program Manager appear at the bottom of the first page and are dated on various days in April 2004. The second page indicates that that it was "recorded by" Charles Salemi on July 30, 2004 and the signatures of the same individuals appear at the bottom of this second page, with various dates in September 2004. A copy of the "Corrective Action Report Form" is appended hereto as Attachment A.

8. This "Corrective Action Report Form" describes an incident in which a chemist had tested a controlled substance and determined that it was heroin, but had mistakenly written down in the drug certificate that the substance was cocaine.

9. In paragraph 2, Mr. Salemi wrote: "The chemist did not catch this mistake because they [sic] had done both the preliminary and confirmatory tests themselves[sic]. This could have been avoided by having one chemist do the preliminary work and another chemist do the confirmatory testing. This would

involve two chemists checking the results before a certificate is signed."

10. In paragraph 4 of the "Corrective Action Report Form", Mr. Salemi wrote: "All powder and substance samples are now done by two different chemists. One (primary) chemist performs all preliminary tests for example: color, net weights, crystals, and preliminary instrumental tests. The second chemist will perform the confirmatory GC/MS testing." This document states that the change was implemented on March 29, 2004.

11. Discovery documents regarding the Hinton Lab provide information regarding the responsibilities and functions of the two chemists in the drug testing procedures.

12. This two-chemist system is described in documents received in disclosure number three. Within disclosure #3 is a confidential memorandum dated February 29, 2012 from Steven Chilian, Deputy General Counsel at the Department of Public Health to John Auerbach, Commissioner of Public Health, Mr. Chilian

noted the following: "The primary chemist who is assigned the sample performs the preliminary test(s). A separate chemist performs the confirmation test(s). The evidence envelopes are kept in the custody of the primary chemist in the chemist's lab evidence locker (a locked cabinet) while waiting testing. The results of the analysis are provided to the requesting law enforcement agency in the form of a certificate of analysis that certifies what the samples contained and its net weight. The certificate is signed by both chemists." A copy of the memorandum is appended hereto as Attachment B.

13. Within discovery disclosure #3 released on November 13, 2012, is the "Hinton Laboratory Drug Lab Internal Inquiry, Executive Summary." A copy of the "Executive Summary" is appended hereto as Attachment C, and is cited herein by page number as "(ES \_\_\_\_)."

14. The Executive Summary contains a section on "Testing Protocols" which describes the types of testing done on drug evidence samples that were processed at the Hinton Lab.

15. The Executive Summary also contains a section on "Forensic Laboratory Workflow" which describes the manner in which drug evidence samples were processed at the Hinton Lab.

16. These two sections of the Executive Summary describe the types of tests used for forensic drug analysis and the roles of the first and second chemist in the Hinton Lab testing procedures.

17. The Executive Summary describes "three testing methods categories commonly used in the Forensic Lab for analyses of specimens, with workflow designed to include preliminary and confirmatory identification."

18. The Executive Summary states that "[a]s specified within the *SWGDRUG* [Scientific Working Group for the Analysis of Seized Drugs] standards, there are three testing methods categories commonly used in the Forensic Lab for analyses of specimens, with workflow designed to include preliminary and confirmatory identification" and refers to drug testing methods used by the Hinton Lab as Categories A, B, and C.

19. The Executive Summary states: "Category B and C tests provide the initial (*Primary*) test in the Drug Lab workflow. These include color tests, microcrystalline analyses, and ultraviolet visualization. They have only moderate discriminatory power, and are not associated with data that can be memorialized with an instrument-generated paper or computer trail and reviewed. These simple bench top tests have no associated documentation beyond a chemists' [sic] findings. Documentation of Category C tests includes a reviewable work card, but accuracy can only be directly confirmed through repeating the test."

20. The Executive Summary indicates that the "chemist assigned a sample for testing was defined as the *Primary*."

21. As noted in the Executive Summary, it was the primary chemist's responsibility to conduct the "presumptive tests" in Categories B and C which screen for controlled substances, and to provide Category A specimen vials to be passed on to the secondary or confirmatory chemist.

22. The limitations of presumptive drug analysis are described in JaVed I. Khan et al., Principles of Forensic Chemistry 79 (Springer 2012: "Chemical-screening tests are presumptive tests commonly used to initiate the process of substance identification. These simple reactions cannot identify the substance without uncertainty; however they do provide preliminary confirmation of the presence of either a particular functional group or a generic molecular structure. Chemical-screening tests produce a distinct color when the reagents are mixed with compounds containing a specific functional group. Although not highly specific, these preliminary tests will determine which subsequent method is best suited to identify the substance.").

23. The limitations are further described in Anthony C. Moffat et al., *Clarke's Analysis of Drugs and Poisons: In Pharmaceuticals, Body Fluids and Postmortem Material* 194 (4th ed. 2011) ("Colour/spot tests provide a valuable indication of the content of any particular item tested, but it must be stressed that positive results to colour tests are only



presumptive indications of the possible presence of the drug. Colour tests have the advantage that they can be used as field tests by unskilled operators, with the obvious need for follow-on analysis in the laboratory.").

24. "Nonspecific tests . . . can lead to false positive results, a finding of one drug's presence when in fact another drug is present." P. Giannelli & E. Imwinkelried, *Scientific Evidence*, sec. 23-2(B) (1986) at 934. "One of the most popular types of nonspecific tests for drugs is the color change test." Id. at 935.

25. The Executive Summary indicates that Category A tests used "sophisticated instrumentation such as Mass Spectrometry, Infrared Spectroscopy, and Gas Chromatography, have high discriminatory power, and are used as confirmatory tests. They produce instrument-generated documentation of test results that may be reviewed by a second chemist or a lab supervisor to further ensure accuracy."

26. Within the documents described and provided in discovery disclosure #10, or "Commonwealth Notice of Discovery, June 27, 2013," is an undated document titled "Overview", and another document called "Boston Drug Laboratory GC/MS Protocol," with a date of July 17, 2007, at the bottom of each page. The Overview is appended hereto as Attachment D, and the Boston Drug Laboratory GC/MS Protocol as Attachment E.

27. The document called "Overview" is a 19 page document that describes how GC/MS works, and begins by noting: "GC/MS is the primary form of spectrometry employed by the Drug Laboratory to structurally identify controlled substances."

28. This document also addresses what chemists must do to schedule the use of the GC/MS instrument; how they are to handle and process received samples; how they are to prepare the instrumentation and run quality control checks; how to run samples on the instrumentation and to insure quality control; how to analyze samples; how to file paperwork for results, backup data and retrieve data; and more.

29. This document reveals the extent to which the GC/MS instrument is dependent on human calibration and maintenance and is, thus, vulnerable to human error, neglect and tampering, which can compromise the accuracy of test results.

30. This document notes that the GC/MS instrument is sensitive and requires regular, intensive maintenance to function properly and produce accurate test results. To set-up and execute *each* GC/MS run, the assigned "secondary" chemist must complete multiple tasks to maximize the reliability of the results, including:

a) Inspect the samples and document problems.

b) Empty and rinse bottles and refill with fresh solvent.

c) Check, empty and wash all waste vessels and lines.

d) Replace injection seal (called the septa) and lubricate the syringe's solvent.

e) Run the "Tuning" test, which establishes that the GC/MS machine is working properly.

f) Prepare fresh "blank" samples, "standard" samples and a "quality control ("QC") mix", as needed.

g) Prepare the form detailing the sample sequence for the run, with blanks and standards (the "QC mix" is the first standard), where appropriate, and enter the sequence into the instrument.

h) Place the samples, blanks and standards in the instrument carousel in the order that corresponds to the order in the sample sequence form and the sequence entered into the instrument.

i) The results of the first GC/MS analyses of blanks and standards should be verified to determine whether the instrument is operating properly. The GC/MS instrument should be further checked multiple times during the run to assure proper operation.

j) Compare data from each unknown sample to a known standard to determine if there is a match.

31. The document entitled "Boston Drug Laboratory GC/MS Protocol" states that "the principles introduced in this SOP [Standard Operating Procedure] will apply to all forensic items confirmed via GC/MS, both routine and specialty drug submissions" and indicates that it is a "Standard Operating Procedure (SOP) for the Drug Analysis Gas Chromatography-Mass Spectrometry (CD-MS) Laboratory."

32. This 19 page document addresses the function of GC/MS, the objective of the SOP, sample submission requirements and procedures, equipment maintenance and calibration, batch setup procedures, instrument and method quality control, acceptance criteria for data analysis, reporting results, data backup, data retrieval and retention. The document states that all chemists and supervisors are responsible for performing the SOP each time they use GC/MS.

33. Similar to the Overview document, this SOP enumerates the various responsibilities of the chemists working on GC/MS.

34. The function and importance of GC/MS are explained in Richard Saferstein, Ph.D., Criminalistics, an Introduction to Forensic Science, 138-141 (10<sup>th</sup> ed. Prentice Hall) (2011) (Stating that mass spectrometry "is one of the most important tools in a crime laboratory. Its ability to separate the components of a complex mixture is unsurpassed.... The separation of a mixture's components is first accomplished on the gas chromatograph. A direct connection between the GC column and the mass spectrometer then allows each component to flow into the spectrometer.... The unique feature of mass spectrometry is that under carefully controlled conditions, no two substances produce the same fragmentation pattern.... the technique thus provides a specific means for identifying a chemical structure.").

35. According to the National Academy of Sciences Report "Strengthening Forensic Science in the

United States, A Path Forward", 134-135, available at <https://www.ncjrs.gov/pdffiles1/nij/grants/228091.pdf>,

"Most controlled substances are subjected first to a field test for presumptive identification. This is followed by gas chromatography-mass spectrometry (GC-MS), in which chromatography separates the drug from any diluents or excipients, and then mass spectrometry is used to identify the drug. This is the near universal test for identifying unknown substances. Marijuana is an exception, because it is identified normally through a sequence of tests...."

36. GC/MS is often considered the "gold standard" for the identification of controlled substances. The significance of GC/MS testing of controlled substances has been described in a federally-funded report, Patrick S. Callery et al., Enhanced Forensic Mass Spectrometry Methods, 6, available at <https://www.ncjrs.gov/pdffiles1/nij/grants/225532.pdf>, : "Forensic mass spectrometry provides a basis for high quality analyses of evidence. In many cases, mass spectrometry provides the gold standard for chemical

identification. Identification of controlled substances prior to, or after ingestion, almost always requires mass spectrometric methods. The MS instrument of choice has been a quadrupole mass spectrometer (MS) interfaced with a gas chromatograph (GC). Millions of forensic cases involving controlled substances have been identified and quantified by GC-MS. GC-MS is reliable, highly sensitive, and well-established in the literature. Good libraries of standards are available, lower cost, ease of operation, and acceptability in the courtroom are additional advantages."

37. In sum, the discovery shows that as of March 30, 2004 at the Hinton Lab, the drug testing procedure was a two-chemist system. The first chemist was the custodial chemist and sometimes called the primary chemist. This chemist conducted nonspecific, presumptive tests to determine the potential presence of controlled substances. When these screening tests produced positive results, the first chemist prepared and provided vials containing a small amount of the evidence samples to the second chemist, sometimes



called the confirmatory chemist. These presumptive tests were used to determine the methods best suited for identification of the substances. The secondary chemist used the GC/MS instrument to actually identify the specific chemical composition of the substances.

Annie Dookhan as GC/MS Chemist

38. Discovery produced in various disclosures regarding the Hinton Lab indicates that as a GC/MS chemist, Annie Dookhan failed to follow procedures required for analysis, and that she created fraudulent documentation. This discovery includes:

a) Report of Det. Lt. Irwin on Interview of Daniel Renczowski, August 21, 2012, appended hereto as Attachment F - forgery of Hinton Lab chemist Nicole Medina's signature on a GCMS tune sheet;

b) Det. Lt. Irwin Interview of Hinton Lab GCMS Supervisor Peter Piro, August 27, 2012, appended hereto as Attachment G - forgery of Dan Renczowski's initials on a control sheet, and

falsification of a Quality Control Daily Injector Test on GC/MS;

c) Det. Lt. Irwin Interview of Nicole Medina, August 28, 2012, appended hereto as Attachment H - forgery of chemist Nicole Medina's signature on a GCMS tune sheet;

d) Grand Jury testimony in Commonwealth v. John Doe, November 19, 2012 - testimony of Hinton Lab chemist Kate Corbett regarding fabrication of gas chromatograph quantification results by Annie Dookhan.

39. The Executive Summary indicates that even though there were safeguards in place at the Hinton Lab, Ms. Dookhan's wrongdoing "demonstrate[s] the damage that can potentially be done by a rogue employee who can maliciously manipulate the testing and documentation process to minimize the chance of discovery - as may well have been the case in this instance. Certain conditions at the Forensic Drug Laboratory might have enhanced this vulnerability. For example, there were numerous instances when chemists

worked alone rather than as teams or side-by-side."  
(ES 10).

Other Misconduct and Deficiencies at the Hinton Lab

40. The following is based upon my review of information contained in two discovery packets produced by the Office of the Attorney General pertaining to its investigation of Annie Dookhan's misconduct and the Hinton Lab failures. Disclosure #2 consists of a Bates-stamped 101-page PDF entitled "AGO State Lab Investigation," and which will be cited herein by page and paragraph number as "(SLI \_\_/\_\_).". Disclosure #3 consists of a 446-page PDF, which includes the Executive Summary. A CD-ROM containing both discovery packets will be provided to the Court.

41. On August 28, 2012, Dookhan admitted to a number of misdeeds in the following statement she made to Detective Lieutenant Robert M. Irwin (SLI 77/2):

I, Annie Dookhan, had taken out  
samples of safe [sic] and tested  
them without being signed out as  
proper procedure. I also went in

the Evidence Log book and postdated and filled the log book in. I signed my initials and an Evidence Officer's initials in the book. That was my mistake and I can't deny that. I also batched, put similar samples together, and tested some and not others; I "dry labbed." I have been doing it for 2-3 years. At times, a few, I had to add a sample that came back from Mass Spec to make it what I said it was. I would get the sample from a known sample. I would try to clean it, the original, up first but if it didn't I would need to take something, drugs, from another case. I intentionally turned a negative sample into a positive a few times.

42. Dookhan forged the initials or signatures of other chemists (SLI 5/2; 8/14; 15/9; 22/4; 29/14; 40/3; 45/2; 72/4) and evidence officers (SLI 22/6; 37/6; 72/3), including on Quality Assurance and Quality Control (QA/QC) documents (SLI 22/5).

43. She ignored lab procedures by loading and running her own samples on the Gas Chromatograph/Mass Spectrometer (GC/MS) when she was functioning as the preliminary chemist (SLI 6/3; 46/3).

44. Dookhan failed to properly run QC/QA test samples (SLI 22/5), instead purposefully making up test result numbers on the "Quality Control Daily Injector Test on the GC/MS" (SLI 8/13; 22/5).

45. Dookhan maintained a level of production of test results that concerned supervisors and co-workers (SLI 19/4; 21/1; 35/7; 45/2), often analyzing more samples in a week than they did in a month (SLI 19/4; 35/7).

46. Dookhan submitted multiple racks of sample vials to the confirmatory chemists (SLI 22/2), and left many samples out on her bench top (SLI 73/8-9).

47. Dookhan exhibited a pattern of failing basic laboratory procedures (SLI 22/2), including documentation issues (SLI 7/11), failing to calibrate balances (SLI 31/2; 23/9; 42/4), and having a workspace filled with numerous vials, leaving them vulnerable to cross-contamination (SLI 7/12; 22/2; 73/8).

48. Dookhan was also allowed to access the evidence office computers to enter and look up data (SLI 12/5; 23/6; 32/8; 34/2; 38/12; 46/4; 72/6; 90/2), even after she was suspended from lab duties (SLI 46/5; 72/6).

49. Dookhan engaged in the practice of "dry labbing," looking at samples instead of testing them with presumptive testing (SLI 24/16; 73/7; 73/10; 77/2).

50. During preliminary analyses of drugs, Dookhan failed to use proper methods of inspecting slides prepared for a microscope (SLI 19/5; 32/6; 21/1; 42/2). This resulted in an unknown number of samples coming back from the confirmatory chemist as heroin when she had supposedly tested it and found them to be cocaine and vice versa (SLI 7/8; 23/8; 23/11). She would then alter these samples, so that a second confirmatory test conformed to her initial "identification" of the drugs (SLI 6/5; 6/6; 7/9; 23/10; 73/9).

51. Dookhan was contacted directly by assistant district attorneys about specific samples to potentially analyze them more quickly, and potentially out of order (SLI 29/11; 24/14; 32/4; 37/3; 40/5; 42/5; 72/6).

52. Dookhan looked up data for assistant district attorneys who had called her directly, bypassing the proper protocol of going through the Evidence Office (SLI 24/14; 72/6).

53. Dookhan accessed the lab numerous times while suspended from lab duties (SLI 23/12; 35/6; 40/5; 46/5; 86/3).

54. Dookhan's key opened the evidence safe (SLI 16/17; 32/7; 50/5), and she may have known the code (SLI 32/8; 42/3). Despite policy, she may have been receiving evidence (SLI 32/8) and may have been trusted with the ability to open and close the lab (SLI 32/7; 42/4).

55. Dookhan's false claim to have a Master's Degree (SLI 71/1) was discovered around June 2010, but no action was taken (SLI 30/15). In October, 2011 chemist Lisa Glazer noted that Dookhan had added additional classes to her curriculum vitae, and Dookhan claimed she had gotten a grant from the Department of Justice for the classes. Chemist Glazer felt that Dookhan had lied about the classes and the grant (SLI 35/4).

56. Dookhan trained one of the new chemists at the lab, but would leave the trainee alone to test samples, and failed to accurately record powder sheets to properly reflect the work roles and responsibilities of the chemist in training and Dookhan as the certified chemist (SLI 31/2; 31/3).

57. Many issues with Dookhan were allowed to continue for years. Numerous lab personnel expressed concerns with Dookhan's workload and documentation errors (SLI 8/13; 15/9; 15/10; 19/4; 21/1; 22/5; 45/2; 73/7), forgeries (SLI 5/2; 7/6; 8/14; 15/9, 22/4; 40/3; 45/2; 72/4), and questionable test results (SLI 7/8; 23/8; 23/11).

58. When lab supervisor Piro reported numerous concerns regarding Dookhan's conduct at the lab to his superior, Charles Salemi (lab supervisor II), Salemi only conducted an audit of paperwork for every tenth sample and no actual re-testing was performed (SLI 14/5; 14/6; 22/3).

59. Around June of 2011, after two chemists reported that Dookhan had forged their initials, Dookhan was assigned to a special project of writing or updating the lab's Standard Operating Procedures (SOPs), even after her suspension for not following procedure (SLI 15/9; 35/6; 55/3; 59/3; 86/3).



60. The laboratory evidence room and evidence safe were accessible to chemists (SLI 28/7; 37/9; 12/4). The procedures to restrict access were ignored and circumvented (SLI 16/15; 37/9, 38/11; 39/2). The safe was found open and unattended (SLI 28/6; 38/11), was left propped open when it was "busy" (SLI 28/6), and was accessible by codes and keys that had not been changed in over a decade (SLI 28/3).

61. There were insufficient safeguards on access to the evidence room, and to the evidence safe, which could be accessed by means of a key or a palm reader. After the 2011 incident, it was discovered that an unknown number of chemists' lab keys opened the evidence safe (SLI 12/4; 37/8; 38/12; 46/6; ES 10) and the palm reader system did not record entries or have a means to flag inappropriate entrance (ES 10).

62. The lab supervisors and superiors who learned of the June 2011 breach by Dookhan failed to promptly notify the SLIH Commissioner, the Quincy Police Department, and the Norfolk County District Attorney's office (SLI 15/8; ES 13).

63. The method of samples being checked in and out suffered from lack of oversight, as whole sets of drug samples could be pulled by Dookhan without anyone noticing (SLI 28/7; 36/3; 36/4; 73/8).

64. The evidence officers who were in charge of security of the evidence safe had an apparent pattern of laxity when it came to tracking samples and access to the evidence room and safe, computer terminals (SLI 32/8; 38/12; 42/3; 46/4; 90/2; 90/3), and written logbooks (SLI 25/2; 25/3).

65. The lab followed SWGDRUG guidelines from 2004, but those standards are general and lack specific detail as to the policies, procedures and protocols that should be followed at the lab (ES 10).

66. Unlike other labs at the Hinton facility, the drug lab had no surveillance cameras and no mechanism to detect, monitor and report adverse events and poor quality events (ES 11).

67. There was a lack of supervision and oversight at the lab: Director Nassif did not meet with lab supervisor Salemi on a regular basis, and had difficulties meeting with staff (ES 11).

68. On March 18, 2013, John Verner, Chief of the Criminal Bureau of the Attorney General's office issued a letter to Norfolk District Attorney Michael Morrissey. This letter accompanied numerous photographs and reports regarding the Hinton Lab. This letter with photographs and report is included on the CD provided to the Court.

69. These photographs and reports were generated during the Inspector General's investigation of the Hinton Lab, which included physical access to the Hinton Lab on various dates between January 18, 2013 and March 11, 2013.

70. These reports detail the discovery of various drug samples, green vegetable matter, controlled substances and other items. These items were discovered approximately six to seven months after the Hinton Lab had been shuttered. These items, discovered during the Inspector General's investigation, were in various unsecured locations at the Hinton Lab including the floor, in desks, in drawers, in a drying hood cabinet, taped to a lab bench and in a freezer.

#### E-mails

71. The following is from e-mails which CPCS received from the Office of the Attorney General, and which document electronic communications to and from Dookhan and various assistant district attorneys, other Hinton Lab personnel, and law enforcement agents. These e-mails were redacted to eliminate names of defendants and other protected information. Copies of selected e-mails, including those excerpted in ¶¶ 74-80, 82-85, and 87-95 below, are appended hereto as Attachment I to this affidavit, and will be cited by page number as

"(Attachment I \_\_ )." An electronic copy of additional redacted e-mails will be provided to the Court.

73. This selection of e-mails demonstrates Dookhan's opinions and attitude regarding defendants in drug cases, the types of contacts she had with members of the law enforcement community, her view of her role in the prosecution of defendants charged with drug offenses, and the views of assistant district attorneys regarding her role in the prosecution of drug cases:

74. In an e-mail dated June 10, 2009, 9:02 AM, Dookhan faxed some drug certificates to an assistant United States Attorney. He replied, "Annie—thanks. Sorry to be so bothersome lately. But the summer approaches and we need to take some of these guys off." Dookhan sent back, "No problem. I have the same attitude... get them off the streets" (Attachment I 1).

75. In an e-mail dated October 2nd, 2009, 3:36 PM, Dookhan sent 43 prosecutors files containing questions for prosecutors to ask chemists, stating, "I would like to thank everyone for their cooperation and patience since the Melendez-Diaz decision. I have attached some predicate questions for drug analysis to this e-mail. Please distribute to your colleagues" (Attachment I 2).

76. In an e-mail dated November 15, 2010, 5:06 AM, in the course of her lengthy e-mail correspondence with a Norfolk County assistant district attorney, Dookhan states, "And to top it all of [sic], on the week of halloween, the defendant (a real winner) was charged with rape/sexual assault on a minor. Now, that hit my heart closely and for that he needs to be locked up and throw away the key. I had the pleasure of spending some time with the young lady and she is a sweetheart. So very young to have to go threw [sic] this ordeal, not just physically but mentally. Needless to say, def. will be making a lot of friends in the federal pen, named John. Haha" (Attachment I 8).

77. In an e-mail dated February 09, 2011 8:51 PM, in the course of an e-mail conversation with a Norfolk County assistant district attorney, Dookhan stated, "Defaulted. . . He must be in the Dominican republic on the beach with my other default defendants. Let me know if you need anything in the future" (Attachment I 14).

78. Some of Dookhan's involvement with law enforcement may have preceded the analysis of drug samples.

79. For example, in an e-mail dated November 20, 2010 8:00 PM, an assistant district attorney from Norfolk County asked, ". . . I have grand jury this Tuesday, and if they are not ready, I will get another date for presentment. B10- 50969, 50938 TO

50968." Dookhan replied, "No prob. If they are not completed, I will have them assign to me" (Attachment I 6).

80. In an e-mail dated October 06, 2010 8:14 PM, Dookhan stated, "If you have to bring in samples for some reason just shoot me an e-mail or text/call my cell [cell phone number provided] and we can make the arrangements. I will have those samples specifically assign to me" (Attachment I 4).

81. In some e-mails, Dookhan counseled the prosecutors about testimony and strategy.

82. For example, in an e-mail dated March 24, 2011 8:28 PM, in an exchange with a prosecutor about preparing for trial, Dookhan wrote, "I will review your questions over the weekend and get back to you. Definitely, keep the expert testimony section, it will build credibility. I would stay away from questions regarding accreditation, and publications." Later on (March 26, 2011 2:17 PM), after the court date had been cancelled, Dookhan wrote "Thanks for the heads up . . . Tell the defendant, he is getting an extra 5 years for p-off the chemist. :)." The assistant district attorney replied, "Haha. Sounds about right" (Attachment I 26).

83. In an e-mail to a prosecutor dated April 22, 2011 12:14 PM, Dookhan wrote, "See attachment for an updated version

of the predicate questions: I change the wording of question /35 and eliminated what was question / 37. I edited these to avoid potential problems from the d/c. [defense counsel]" (Attachment I 30).

84. In an e-mail dated September 02, 2011 9:53:46 AM, "I received this e-mail [from defense counsel] in regards to a case with you. I just wanted to know if it was OK with you to respond to his e-mail/request." The prosecutor replied, "Hi Annie! Witnesses 'belong' to neither side, so you are free to meet with him. Of course, you are not obligated to, and given the demands on your schedule, it would seem reasonable to save your testimony for the stand! (I understand he has engaged his own expert in this case). Does that make sense?" (Attachment I 34).

85. In an e-mail dated February 24, 2011 1:07:00 PM, Dookhan sent an e-mail to a Suffolk County prosecutor regarding the reweighing or retesting of drug evidence by an "independent chemist" sought by the defense: "The only suggestions I have: (1) for d/c [defense counsel] to provide transportation for the independent chemist to come to Boston and obtain the sample or (2) have one of our local independent chemists come to the lab and obtain the sample and then mail it to NMS Labs. Therefore

all responsibility falls on d/c and it will cost more money.  
Haha" (Attachment I 16).

86. The following excerpts are communications from prosecutors to Dookhan about defendants and defense counsel.

87. In e-mail dated March 03, 2011 2:40:07 PM, from an assistant district attorney: "I am prosecuting a gun and drug case in Fall River District Court that is scheduled for trial on March 17. The defendant is held in custody on a dangerousness hearing and the case is three months old. I sent a priority cert request by fax (to the 617-983-6210 number) for the drugs but I wanted to e-mail you as well. Could you possibly help facilitate the testing? I know you probably get a lot of these requests. If I can't get the case tried by the 17th, technically, the court could release the defendant on bail" (Attachment I 18).

88. In e-mail dated February 08, 2011 3:42:19 PM, from an assistant district attorney: "bad news -- I have been trying extremely hard to plea this case out -- it's a VERY solid case for us but Attorney Neil Madden hasn't been doing a good job conveying that to his client. We are offering 4 years and the Defendant would get a mandatory 12 if he is found guilty. ridiculous" (Attachment I 13).



89. In e-mail dated July 21, 2010 4:03 PM from an assistant district attorney: "One of my favorite police officers was injured as a result of this drug dealers attempted escape, so I wan't [sic] to make extra sure all my ducks are quacking." (Attachment G 118). Also from this assistant district attorney, March 10, 2011 2:36:49 PM, "OH KIDS: This jack @ss has until March 28th 2011 to change his plea. Otherwise, he can go meet [redacted] in prison following our last guilty verdict (Annie and Della). Det. Billy Ward (my favorite detective) was out of work injured because of this incident for over a month. . . so I have a personal vendetta against him! I'll keep you posted!!!!" (Attachment I 24).

90. In e-mail dated February 28, 2011 2:06 PM, from an assistant district attorney: "Thank you Annie. I will discourage defendants from requesting documents other than the drug cert. in the future." To which she replied, "No worries. We are more than willing to provide discovery packets to the ADAs as long as it will help in getting a plea or stipulation" (Attachment I 17).

91. In e-mail dated March 22, 2011 10:33:08 AM, from an assistant district attorney, "If defense counsel know the chemists are available 9 out of 10 times it will be a plea. Judge's [sic] appear to be on our side and kind of hint at

defense counsel that if they require the chemists to come in it may be a heavier sentence for defendants" (Attachment I 25).

92. In e-mail dated August 24, 2010 1:38 PM from an assistant district attorney, "I am pursuing a pharmacy burglar and had a couple of questions about some different types of pills - specifically, do you know the standard weights per pill for the particular pills ('methadone 10 mg' for example), and would you classify them as 'derivatives of opium.' I am interested in pursuing this guy for trafficking as well as for burglary - he would face a much stronger penalty" (Attachment I 3).

93. In e-mail dated March 04, 2011 12:19:26 PM, from an assistant district attorney: "DREAM TEAM!!!!!! It is time to kick some more buttocks!!!!" (Attachment I 21).

94. In e-mail dated October 04, 2011 3:20:00 PM, from an assistant district attorney, referring to scheduling, "Won't be a prob. My bet. . . you all show and the defense stipulates. But b/c they are the defense they won't stipulate until you show. . . Great business we all work in huh?" To which, Dookhan replied, "Story of our lives. . . Tell him it will be and [sic] extra 10 years, if I have to drive to Brockton and he stipulates. Haha" (Attachment I 36).

95. In e-mail dated January 18, 2012 1:12:09 AM, from an assistant district attorney: "Your [sic] the best. Fortunately, I scared [redacted] into pleading out to guilty 1 yr. HOC suspended for 2 years. . . . Thought you'd love to know Defense attorneys get very concerned when the commonwealth has certs and lab packets. . ." (Attachment I 40).

#### Lack of Accreditation of the Hinton Lab

96. The following information provides background regarding the Hinton Lab's inadequate management and operations as compared to standards promulgated by the relevant scientific community.

97. The Executive Summary prepared by the Massachusetts Department of Public Health reported that the Hinton Lab was not accredited and lacked the resources to support the application for accreditation (ES 3).

98. The policies and procedures in the Hinton Lab were developed from the 2004 recommendations of the Scientific Working Group for the Analysis of Seized Drugs (SWGDRUG) (ES 2).

99. The Executive Summary states that "[e]ven if the Forensic Drug Lab fully complied with the SWGDRUG guidelines, these guidelines were vague and inadequate for guaranteeing the

type of integrity needed to deliver high quality forensic drug analyses" (ES 2).

100. The Executive Summary notes that SWGDRUG standards provide minimum guidelines offering direction to the development of forensic laboratory policies and procedures, but lack specificity in expected action steps (ES 10).

101. While SWGDRUG had updated its guidelines in 2011, the Hinton Lab did not update its Standard Operating Procedures (SOP's) to conform to the revised guidelines (ES 2).

102. The Executive Summary states that "[t]here has [sic] no process for routine review and revision of the 2004 SOP's nor periodic written documentation of compliance" (ES 3).

103. The Executive Summary indicates that there are varying acceptable national standards to guide the work of forensic laboratories, and that the Massachusetts Executive Office of Public Safety and Security is in the process of attaining International Organization for Standardization (ISO) accreditation (ES 3).

104. The accreditation sought is pursuant to ISO 17025, a copy of which is appended as Attachment J to this affidavit. See also, French and Electric Blue, "Crime Lab: Past, Present, and Future," March 2013 at 6 (discussing Massachusetts State

Police Forensic Services Group's "commitment to professional excellence in forensic testing" and its pending "appli[cation] for the rigorous accreditation standard ISO 17025) (copy appended hereto as Attachment K).

105. From my experience as Director of Forensic Services, I am aware that ISO 17025 covers a range of requirements to establish the competency of a testing and calibration lab. Management, record keeping, document control, monitoring, prevention, quality assurance, and technical requirements of the lab are all covered.


106. The Executive Summary indicates that ISO accreditation has training, personnel, equipment and instrumentation requirements that exceed those of SWGDRUG.

107. The Executive Summary states that "[t]hese accreditation requirements also include a series of Quality Manual and Management System policies and procedures and substantial informatics system enhancements associated with meeting the ISO standards in order to capture more detailed data on testing, technician activities, reagents used, equipment maintenance, as well as additional information technology systems specific for document management and control" (ES 3).

108. The Executive Summary notes that there are expenses connected to the accreditation process, enrollment in proficiency testing programs and equipment calibration, maintenance and replacement (ES 3).

109. The Executive Summary reiterates that the Hinton Lab lacked the resources to fulfill the standards required by "specialized drug laboratory certification" (ES 3).

SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY THIS 6<sup>th</sup> DAY OF JANUARY 2014.

  
\_\_\_\_\_  
Anne Goldbach  
Director of Forensic Services  
Committee for Public Counsel Services

# **GOLDBACH ATTACHMENT A**

# CORRECTIVE ACTION REPORT FORM

ID #DR-04-001

Event Date: 03/18/2004

Dept. Drug Laboratory

## 1. Identification of nonconformity or quality problem:

A completed sample was returned to the laboratory by the police department so that an independent chemist could do fingerprinting of the packages. Before fingerprinting was done, the independent chemist noted that our certificate stated that the sample contained cocaine, yet the packaging was similar to known heroin samples. I observed the packets and agreed that these types of packets usually contain heroin.

Recorded by: C Salemi

Date: 03/18/2004

Department: Drug Laboratory

## 2. Investigation:

I asked the chemist who analyzed the sample to check their notes. The chemist's notes and the analytical data showed that the substance was heroin. The chemist mistakenly had written cocaine as the result on the laboratory control card. The card was sent to the Evidence Office, which generated a certificate with cocaine as the result. The chemist checked the card against the certificate and signed the certificate indicating that cocaine was present.

The chemist did not catch this mistake because they had done both the preliminary and confirmatory tests themselves. This could have been avoided by having one chemist do the preliminary work and another chemist do the confirmatory testing. This would involve two chemists checking the results before a certificate is signed.

Recorded by: C. Salemi

Date: 03/18/2004

Department: Drug Laboratory

## 3. Corrective action plan:

The laboratory control card and certificate were corrected on March 31, 2004. The sample, laboratory control card and corrected certificate were returned to the Evidence Office on March 31, 2004. This corrected certificate and sample will be returned to the police department with other completed samples.

Beginning 03/29/2004, all powder samples will be done by two chemists. If in the event of a "rush" sample, one chemist may do both the preliminary and confirmatory testing, but a senior level chemist must check and initialize the results, before a certificate is generated.

These procedures were addressed at a lab meeting on March 30, 2004. The minutes will be kept on file in the laboratory. The laboratory supervisor will audit compliance by reviewing a random number of laboratory control cards monthly and verify that two signatures are on the laboratory control cards and certificates.

Recorded by:

Date:

Department:

Charles B. Salemi  
Laboratory Supervisor

4/7/04  
Date

Allen Stinson  
Program Director

4/7/04  
Date

Harvey George PhD  
Quality Assurance Director

4/14/04  
Date

4/14/04  
QA Receipt Date

Ralph T. ...  
State Laboratory Director

4/15/04  
Date

P. Donalate  
QA Program Manager

4/15/04  
Date



## CORRECTIVE ACTION REPORT FORM

ID# DR-04-001

Event Date: 03/18/2004

Dept. Drug Laboratory

### 4. Implementation of Changes:

All powder and substance samples are now done by two different chemists. One (primary) chemist performs all preliminary tests for example: color, net weights, crystals, and preliminary instrumental tests. The second chemist will perform the confirmatory GC/MS testing. This change was implemented on March 29, 2004. It was communicated to the staff at a laboratory meeting held on March 30, 2004. Minutes of this staff meeting are on file in the laboratory.

Recorded by: C. Salemi

Date: 7/30/2004

Department: Drug Laboratory

### 5. Follow-up and Outcomes:

Two chemists now testing powder samples now provides a means for the double checking of analytical results. This will provide an excellent way to insure that proper results are reported for all unknown powder samples. Monthly audits were conducted on May 21<sup>st</sup>, June 24<sup>th</sup>, and July 26<sup>th</sup> of 2004. Each audit consisted of 25 random samples. The compliance rate for each audit was 100%.

Recorded by: C. Salemi

Date: 7/30/04

Department: Drug Laboratory

Department Supervisor

*Charles B. Allen*

Date:

*9/15/04*

Program Director:

*Allen C. Hoffman*

Date:

*9/16/04*

Quality Assurance Director:

*Harvey Gory PhD*

Date:

*9/20/04*

State Laboratory Director

*Ralph T. Jones*

Date:

*9/21/04*

LWQIC Presentation and Review Date

*10/7/04*

QA Program Manager

*P. D. Natale*

Date

*9/20/04*

# **GOLDBACH ATTACHMENT B**



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
250 Washington Street, Boston, MA 02108-4619  
Office of General Counsel  
(617) 624-5200.

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

TO: John Auerbach, Commissioner, MDPH  
FROM: Steven Chilian, Deputy General Counsel  
RE: Investigation - Lab Breach in Protocols  
DATE: February 29, 2012

## CONFIDENTIAL MEMORANDUM

On December 1, the Department of Public Health (MDPH) became aware of an alleged irregularity in the Lab's protocols for documenting the transfer of samples submitted for forensic analysis for criminal proceedings. The Department has conducted an investigation to determine the validity of this allegation.

### I. INVESTIGATION PROCESS

A. Persons Interviewed: The following persons were interviewed by me as part of this investigation and the information provided by them is incorporated herein. Union protocols were observed for all interviews. Their statements or interview summaries are attached as exhibits to this report.

1. Linda Han, Lab Director (Boston)
2. Julianne Nassif, Program Manager (Boston)
3. Charles Salemi, Lab Supervisor II (Boston)
4. Shirley Sprague, Administrative Assistant II (Boston)
5. Elizabeth O'Brien, Laboratory Supervisor I (Boston)
6. Gloria Philips, Administrative Assistant I (Boston)

7. Annie Dookhan, Chemist II (Boston)

B. Documents: Documents reviewed during this investigation include, but are not limited to, the following:

1. Relevant Statutes (M.G.L. chapter 111, sections 12 and 13)
2. Policies and Procedures – Drug Analysis Laboratories – Updated 9/24/2004
3. Copy of the relevant log book pages
4. Time Logs for Lab employees for period of June 14 to June 25

## II. ALLEGATION INVESTIGATED

Whether the transfer of a number of samples from the evidence office to the Lab for testing was properly assigned and recorded in accordance with Lab protocols.

## III. FINDINGS:

- A. The MDPH Drug Forensic Lab (Lab) is authorized pursuant to M.G.L. Chapter 111, sections 12 and 13 to provide chemical analysis to police authorities for the purpose of enforcement of law.
- B. Annie Dookhan (AD) is a Chemist II whose duties at the Lab at the time of the alleged event were to analyze samples submitted to the Lab for forensic testing. AD has held this position for eight years. During her tenure as chemist she has had an exemplary record of performance and was highly regarded by her peers for her work ethic and professionalism. She has no record of any disciplinary actions. [REDACTED]  
[REDACTED]
- C. The Lab's protocols for handling samples requires that all samples received by the Lab for testing be given a unique sample identifier called an evidence control number (control number). The Lab uses this number to track the case samples as they undergo the testing process. All transfers of samples to and from the evidence office are required to be entered into the Lab's computer tracking system by an evidence officer and manually recorded in the office log book (log book). The log book contains a list of all samples (by sample control number) received at the Lab for testing. The evidence officer is required to record his/her initials, the date of the transfer and the initials of the person accepting receipt of the sample(s). The person receiving the sample is required in the presence of the evidence officer to record his/her initials signifying his/her receipt.
- D. The Lab became aware of a potential breach in its protocol on June 16, 2011 by evidence officer, Shirley Sprague (SS). The discovery was made by SS while entering information into

the Lab's computer from a number of evidence control cards.<sup>1</sup> When SS scanned the evidence envelope's bar code into the computer, the information displayed on the computer for that case did not show the sample(s) for that case as having been assigned to the chemist identified on the control card. SS had to manually input the chemist's name into the computer. This is not a necessary step when the samples are properly scanned out to the chemist by the evidence officer. SS repeated this process for a number of samples. SS also examined the log book. There were no entries to the right of the control numbers for these samples recording their transfer from the evidence office to the chemist for testing. SS contacted her supervisor, Elizabeth O'Brien (EO), by telephone to alert her of this irregularity. The primary chemist listed on the control cards as having custody of these samples was AD.

- E. EO met with SS in the evidence office that same day, June 16<sup>th</sup>, and confirmed SS's findings, i.e., there was no record of the transfer of these samples to AD in either the Lab's computer tracking system or the log book.<sup>2</sup> On June 20<sup>th</sup>, EO met with Charles Salemi (CS), Supervising Chemist for the Analysis Section, and Julie Nassif (JN), the Lab's Director of the Division of Analytic Chemistry, to brief them about the discovery. EO brought the log book to the meeting to show both JN and CS. At the time of this meeting, there were no entries in the log book documenting the transfer of the samples from an evidence officer to AD.
- F. When the log book was re-examined again on June 21, there were now entries recording their transfer from Gloria Philips (GP) to AD on June 14. A review of GP's time logs showed GP to be on leave from June 15 until June 27. Therefore, GP was unable to have made these entries.
- G. GP maintains that she was on leave between June 15 and June 27 and therefore unable to have written the entries on the 21<sup>st</sup>. Her time sheets confirm her absence from work during this period. GP was also asked to review the log book, specifically the transfers purportedly

---

<sup>1</sup> All samples are transferred in evidence envelopes that are bar coded with each sample's unique identification (control) number and are accompanied with a control card that contains the test result, the date the sample was received by the lab, the date analyzed, test result and the initials of the chemists that performed the test(s). The primary chemist who is assigned the sample performs the preliminary test(s). A separate chemist performs the confirmation test(s). The evidence envelopes are kept in the custody of the primary chemist in the chemist's lab evidence locker (a locked cabinet) while waiting testing. The results of the analysis are provided to the requesting law enforcement agency in the form of a certificate of analysis that certifies what the samples contained and its net weight. The certificate is signed by both chemists.

<sup>2</sup> The samples in question totaled 90.

made by her to AD on June 14. GP stated that the initials purporting to be hers had been written by someone else.

- H. The log book is kept in the evidence room. AD, as do all Lab staff, have access to the evidence room via a palm reader. The evidence room is normally staffed by two evidence officers. The number of evidence officers working on the 20<sup>th</sup> of June was one and the number working on June 21<sup>st</sup> was two, with one evidence officer working a half-day. The short staffing provided a greater opportunity to enter the evidence office without being observed.
- I. AD verified her initials in the log book, but indicated that she may have initialed her receipt "after the fact". That is, although the log book shows that the date of her receipt was June 14, 2011, she likely initialed her receipt for them on a later date. She acknowledged that she had seen the entry by GP but denied that it was written by her. She had no explanation as to who may have made the entry.
- J. AD was temporarily removed from her testing duties on or about June 21 and assigned other administrative duties. AD was placed on administrative leave on February 21, 2012.
- K. AD has not testified in any cases involving the 90 samples. The certificate of analysis (certificate) routinely produced by the Lab for each of the tested samples and signed by AD certified what the sample was found to contain and its net weight.
- L. The Commissioner's office first became aware of this incident on December 1, as a result of inquiries made by the Lab to Human Resources concerning the possible reassignment of AD in early December. The Lab's failure to report this incident to Central Office was based on the Lab's lack of appreciation for its potential legal significance and their opinion that the integrity of the test results had not been affected. There is no evidence to suggest that the integrity of the results were impacted by the documentation issue with the log book.
- M. The Lab has taken a number of steps to minimize any reoccurrence of this nature. The Lab has revised its protocol for handling test samples, to include a protocol for reporting discrepancies and has instituted a new policy that limits access to the evidence office to evidence officers only with all transfers of samples to chemists for testing conducted through the evidence office service window. Finally the Lab is also looking at the cost feasibility of adding new security measures such as surveillance cameras.

### III CONCLUSIONS

Based on a preponderance of the evidence collected during the course of this investigation through interviews and review of documentation, it can be concluded that AD failed to follow Lab protocols for the transfer and documentation of samples for testing, and subsequently created a false record of said transfers. The facts support that the log book was examined by three persons after June 16 and prior to June 21, each of whom stated that there were no written entries next to the sample control numbers for the identified samples that documented their transfer for testing to AD. When the log book was re-examined again on June 21, the previously blank pages for these samples were "filled in". The log book now showed them as having been transferred from GP to AD on June 14. GP could not have written these entries as she was on leave from June 15<sup>th</sup> through the 27<sup>th</sup> and, as noted in the findings section, was emphatic after having reviewed the log book that the entries were not in her hand writing. Finally, visual inspection of the log entries supports that the entries for GP and AD were likely written by the same person. While AD did not claim responsibility for writing GP's initials she did verify that the initials signifying her receipt of the samples was in her handwriting and acknowledged that their handwriting is similar. If you eliminate GP as authoring the log entries, the only person with both motive and opportunity to have completed them is AD. The most likely scenario as supported by the evidence is that AD retrieved the samples from the evidence office for testing without following Lab protocols and later compounded this error by creating false documentation of the transfer after the fact.

# **GOLDBACH ATTACHMENT C**



## EXECUTIVE SUMMARY

For several decades the William A. Hinton State Laboratory Institute (Hinton Lab) has operated one of the three Forensic Drug Laboratories within the Commonwealth (the other two were operated by public safety entities). A longtime chemist within the Forensic Drug Lab (Drug Lab), Annie Dookhan (Dookhan), has recently acknowledged malfeasance with regard to the handling of an unknown number of drug analysis cases. The Attorney General and Executive Office of Public Safety and Security (EOPSS) are conducting an ongoing investigation, which led to closure of the Drug Lab on Thursday August 30, 2012.

In June 2011, Dookhan violated laboratory protocols and forged documentation regarding the chain of custody of 90 drug samples, all stemming from Norfolk County. Documentation irregularities were identified quickly and Dookhan (who denied any wrongdoing) was removed from testing duties. In December 2011, the MDPH Commissioner's Office learned of these events and directed Deputy General Counsel Steve Chilian (Chilian), to conduct a focused investigation of the incident. The investigation was conducted from December 2011 to February 2012, and found that evidence suggested Dookhan had in fact breached documentation protocols. Lab staff asserted that they had no questions concerning the quality and accuracy of Dookhan's work. Chilian was not asked to independently assess the accuracy of the pertinent test results. Based upon these findings, the Department began the process of terminating the employment of Dookhan. Beginning in late January 2012, MDPH, EOHHS, and the Governor's Legal Office notified the Norfolk County District Attorney, the District of Massachusetts U.S. Attorney, and other pertinent stakeholders of the 90 cases in which documentation was inappropriate. On March 9, 2012, Dookhan resigned from MDPH and the parties agreed to a neutral separation in lieu of a protracted termination process.

In July 2012, the MDPH Forensic Drug Laboratory was transferred to the Executive Office of Public Safety and Security, which together with the Attorney General, conducted a thorough investigation of Dookhan's work. Numerous additional alleged wrongdoings were identified through this investigation. In light of these findings, MDPH has conducted a comprehensive internal analysis of the policies, procedures, leadership, and infrastructure at the Forensic Drug Lab that surrounded these events. MDPH identified key potential root causes and steps that could have been taken to prevent malfeasance, notification of protocol breaches, quality assurance, and quality control processes, as well as compliance with national standards and guidelines.

The following report details these findings and describes key operational elements of the Drug Laboratory as it operated under MDPH oversight and control.

## THE HINTON STATE LABORATORY INSTITUTE

### *Background*

The William A. Hinton State Laboratory Institute (Hinton Lab) principally houses two bureaus within the Department of Public Health (MDPH), whose missions are disease prevention and surveillance in Massachusetts, the Bureaus of Laboratory Sciences and of Infectious Disease Prevention and Response. Additionally, the Hinton Lab encompasses elements of the MDPH's Drug Control and Food Protection programs, the State Racing Commission Laboratory (Office of Consumer Affairs and Business Regulation), the New England Newborn Screening Program (operated for MDPH by University of Massachusetts Medical School), the National Laboratory Training Program, and the University of

## Massachusetts Biologics Laboratories.

The Bureau of Laboratory Sciences (Bureau) provides high quality testing services, facilitates training of laboratory personnel in new testing technologies, promptly investigates and identifies emerging disease outbreaks, and provides expertise to public and private organizations to improve health status. A nationwide system of state-based laboratories complements the clinical laboratory services included in clinical practice and supports prompt diagnosis of diseases, whether of epidemic proportion or rare disease events. The Bureau is critical to identifying new and emerging problems through disease surveillance and control.

The Bureau is under the supervision of Dr. Linda Han (Bureau Director since June 2010) and is composed of 17 laboratories (prior to the FY13 transfer of the Forensic Drug Laboratory this number was 18) organized in four divisions: Analytical Chemistry, Molecular Diagnostics and Virology, Microbiology, and Central Services.<sup>1</sup> In the last decade MDPH has faced challenges in recruitment and retention of a Bureau Director of Laboratory Sciences because of the limitations on salary levels and the breadth of professional expertise required to oversee the diverse and continually evolving work. In recent years, the Hinton Laboratory has responded to issues as varied as the H1N1 influenza outbreak, mosquito-borne illnesses such as Eastern Equine Encephalitis and West Nile Virus, food-borne illness outbreaks, lead paint poisoning among children and the many demands related to threat of bioterrorism particularly after September 11. In the last six years, there have been three Laboratory Sciences Bureau Directors. One Bureau Director was identified after a lengthy national search, and two of whom were long-term MDPH employees who agreed to assume the role with reluctance (including Han).

Until recently, pursuant to M.G.L. c.111, §12-13, the MDPH was required, upon request from law enforcement authorities, to perform chemical analyses of drugs. Encompassing one of three laboratories in the Commonwealth assessing seized drugs, the Analytical Chemistry Division's Forensic Drug Laboratory (Drug Lab) was responsible for a large proportion of seized drug analyses requested by local and state police as well as federal law enforcement agencies operating in Massachusetts. From January 2003 until assumption of responsibility by the Executive Office of Public Safety, State Police Crime Laboratory/Forensic Services Group (FSG) at the beginning of fiscal year 2013 pursuant to Chapter 139 of the Acts of 2012, the MDPH conducted 355,276 analyses of seized drugs, averaging over 37,000 each year.

### *MDPH Standards of Practice as Compared with National Forensic Lab Guidelines*

Policies and procedures in the forensic drug lab were developed from the recommendations of the *Scientific Working Group for the Analysis of Seized Drugs (SWGDRUG)*. *SWGDRUG* standards provide minimum guidelines offering direction to the development of forensic laboratory policies and procedures, but lack specificity in expected action steps. *SWGDRUG* guidelines were most recently updated in July 2011. Even if the Forensic Drug Lab fully complied with the *SWGDRUG* guidelines, these guidelines were vague and inadequate for guaranteeing the type of integrity needed to deliver high quality forensic drug analyses.

MDPH Standard Operating Procedures (SOPs) for the Forensic Drug Lab were most recently revised in 2004, and are consistent with the generalized guidance of *SWGDRUG* methods of analysis and drug identification.<sup>2</sup> MDPH SOPs do not include comprehensive quality assurance and quality control policies and procedures as recommended in the updated (2011) *SWGDRUG* guidelines. Julie Nassif, Division Director of Analytical Chemistry (Nassif) and Han report that routine quality control

<sup>1</sup> See appended organizational chart current in June 2011

<sup>2</sup> See appended MDPH Forensic Lab Standard Operating Procedures

mechanisms were in-place at the Lab, including performance of test controls, maintenance of reagent preparation records and processes to eliminate expired products, regimented standardization, calibration, and maintenance of equipment, and maintenance of workflow logs, and review of a variety of other test-related documents and records. There has no process for routine review and revision of the 2004 SOPs nor periodic written documentation of compliance.

As consistent with a component of the *SWGDRUG* educational standards, extensive initial training was provided to all chemists as a prerequisite to testing. Training was based upon SOPs and included all aspects of workflow, including bench tests, instrument analyses, and documentation, and technician competency was documented by supervisor observation and proficiency testing via blinded analysis of previously tested samples.

There are varying acceptable national standards to guide the work of forensic laboratories. EOPSS is in the process of attaining International Organization for Standardization (ISO) accreditation, which has training, personnel, equipment and instrumentation requirements that exceed those of *SWGDRUG*. These accreditation requirements also include a series of Quality Manual and Management System policies and procedures and substantial informatics system enhancements associated with meeting the ISO standards in order to capture more detailed data on testing, technician activities, reagents used, equipment maintenance, as well as additional information technology systems specific for document management and control. There are also significant expenses associated with the accreditation process itself, with enrollment in suitable proficiency testing programs applicable to laboratory testing activities, and with instrument calibration, maintenance, and replacement. MDPH did not have the resources to support these significant investments and this contributed to the decision to pursue EOPSS to transition the Forensic Drug Laboratory to public safety.

Prior to 2007, a Bureau-wide quality assurance and quality control (QA/QC) unit staffed by three full-time employees who provided targeted oversight of quality programming for the 18 laboratories. QA/QC processes included review of laboratory SOPs and compliance documents. Each laboratory appointed representatives to participate in unit activities. Due to significant budgetary restrictions in fiscal year 2008, the Bureau eliminated the centralized QA/QC function, instead decentralizing quality control data reviews to laboratory technical supervisors at the division level. Division Directors received ongoing monthly reports on QA/QC concerns and submitted reports through the chain of command for review and approval by the Bureau Director. Documentation redundancies were developed to ensure that potential gaps would be identified, including parallel paper-based and computerized log-books. Elements of this QA/QC system pertaining to chain of custody led to early identification of issues surrounding the Dookhan case.

The core functions of a forensic laboratory are distinctive from those of a traditional public health laboratory, where the focus is on surveillance and direct intervention to ensure individual and population health. For example, the Forensic Drug Lab requires technical expertise in standards of chain of custody and criminal law. In addition, unlike the traditional public health facilities at the Hinton Lab, there was no outside organizational oversight of QA/QC practices in the Forensic Drug Lab beyond that provided through accreditation processes. As noted elsewhere in this report, the forensic drug laboratories overseen by EOPS have begun the process of seeking specialized drug laboratory external certification but the MDPH forensic laboratory lacked the resources to fulfill this standard.

### *Testing Protocols*

As specified within the *SWGDRUG* standards, there are three testing methods categories commonly used in the Forensic Lab for analyses of specimens, with workflow designed to include preliminary and confirmatory identification.

**Category B and C** tests provide the initial (*Primary*) test in the Drug Lab workflow. These include color tests, microcrystalline analyses, and ultraviolet visualization. They have only moderate discriminatory power, and are not associated with data that can be memorialized with a instrument-generated paper or computer trail and reviewed. These simple bench top tests have no associated documentation beyond a chemists' findings. Documentation of Category C tests includes a reviewable work card, but accuracy can only be directly confirmed through repeating the test.

**Category A** tests utilize sophisticated instrumentation such as Mass Spectrometry, Infrared Spectroscopy, and Gas Chromatography, have high discriminatory power, and are used as confirmatory tests. They produce instrument-generated documentation of test results that may be reviewed by a second chemist or a lab supervisor to further ensure accuracy.

### *Forensic Laboratory Workflow*<sup>3</sup>

Seized drugs for testing arrived at the Forensic Drug Lab contained in sealed and initialed evidence bags delivered through a chain of custody transfer from a law enforcement officer to an Evidence Officer (EO) at the Lab. The EO weighed the evidence bag with contents and recorded its gross weight on an evidence receipt. The EO then assigned an evidence control number to the sample evidence bag, and recorded the control number on the evidence receipt. Sample evidence bags were placed in a bar-coded manila envelope (Evidence Envelope) for processing and stored in the Evidence Room (safe). An evidence receipt was provided to law enforcement officer. By protocol, the Evidence Room was to be locked at all times with access by a key or palm reader – both EOs and chemists had access to the Evidence Room, although by protocol, access was to be restricted when EOs were not present. The Evidence Room was secured and alarmed at close of business and per Nassif, override codes were not provided to chemists.

Upon submission of a sample, an EO completed a Control Card and transferred duplicate data to a redundant computerized database for tracking samples throughout the testing process. The control card was placed in the Evidence Envelope and immediately placed into the evidence safe until assigned for testing. Testing assignments were made by the EOs. All assignment information was entered into the computerized database with the name of the assigned chemist and at which time the chemists were notified to pick up samples.

The EO was required to record his/her initials and the date of the transfer. The person receiving the sample was required in the presence of the Evidence Officer to record his/her initials thereby signifying receipt. Transfer of custody of samples required both physical handoff as well as computer entry by the EO – the computerized database was password protected, and chemists were not granted access.

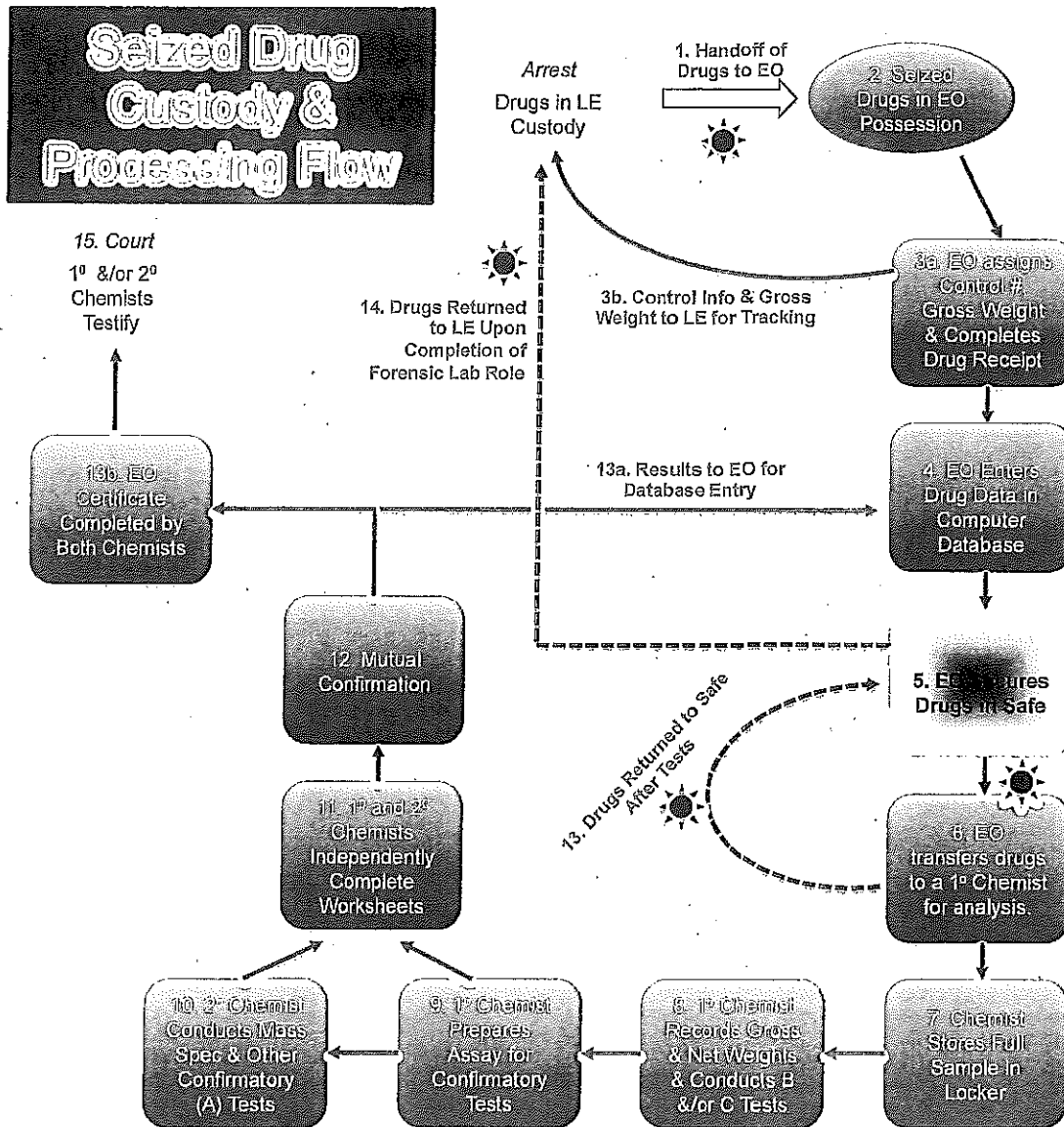
The chemist assigned a sample for testing was defined as the *Primary*. That individual was responsible for conducting Category C analyses, as well as for preparing samples for confirmatory Category A tests. The *Primary* completed the Drug Powder Analysis Form (*Powder Sheet*) which included the samples' control number, the requesting agency, the initials of the analyst performing the test, the number of samples, a physical description of the sample, its gross and net weights, the number and types of test(s)

<sup>3</sup> See attached annotated floor plan of the Forensic Drug Lab. (*included at the end of this document for now*)

# HINTON LABORATORY DRUG LAB INTERNAL INQUIRY

CONFIDENTIAL DOCUMENT – FOR POLICY DEVELOPMENT AND ATTORNEY-CLIENT COMMUNICATION ONLY

performed, the test results and the dates of testing. The prepared Category A sample specimens (prepared vials) were transferred to the confirmation (*Secondary*) chemist with the Drug Lab/Mass Spectrometry Control Sheet documenting the transfer.



EO = Evidence Officer  
LE = Law Enforcement

☼ Chain of Custody

The *Secondary* chemist completed the confirmatory test, filled out the Control Sheet and returned it to the primary chemist for mutual confirmation, in which the two chemists conferred to ensure aligned results. The *Primary* placed both the Powder and Control Sheets in the evidence envelope and returned

the complete sample to the Evidence Officer for storage in the Lab safe. Chemists controlled the full evidence sample during the entire testing process. Each chemist had his or her own locker (47"x20"x28") to hold evidence envelopes during the testing process. Chemists received trays with multiple evidence envelopes for testing – the number of samples allocated on a daily basis varied among chemists. The EO entered final results into the computer database and prepared a certificate for notarized signature by the both chemists. Pursuant to the U.S. Supreme Court decision in *Melendez-Diaz v. Massachusetts* in 2009, the *Primary* chemist was often called upon as a witness upon introduction of a certificate of analysis as material evidence.

## CHRONOLOGY AND NARRATIVE OF KEY EVENTS

### *Annie Dookhan Employment History*

Dookhan was first hired in November 2003 by the MDPH/Hinton State Laboratory Institute as a Chemist 1 in the Forensic Drug Lab. Dookhan reported to Chuck Salemi (Salemi) who was the Lab Supervisor for the Drug Lab for the duration of Dookhan's employment with the MDPH (November 2003 – March 2012). In 2005, Dookhan was re-classified from a Chemist 1 to Chemist 2 based on her successful performance up until that point in time.<sup>4</sup> As a Chemist 2, the workload and tests Dookhan conducted involved increasingly complex drug cases. Throughout her employment, Dookhan was considered a high performer by her supervisors and a valuable asset to the team. As the Drug Lab continued to experience significant back-logs due to budget reductions, Dookhan's supervisor often acknowledged what was described as a strong work ethic and drive to test samples were welcomed by her supervisors.

A review of the volume of sample assignment by chemists shows that between 2004 and 2011, Dookhan was consistently assigned (and presumably tested) more samples at the drug lab than any other chemist, exceeding her peers by as much as 50% more than as the second highest chemist.<sup>5</sup>

### *Timeline and Action Steps*

In June 2011, Elizabeth O'Brien (O'Brien), Lab Supervisor I, and Shirley Sprague (Sprague), Evidence Officer, became aware of a potential breach in documentation protocols for processing drug samples.<sup>6</sup> On June 16, 2011, these staff discovered that transfers of approximately 90 samples from the evidence safe to the chemist who analyzed them (Dookhan) were not documented in accordance with the Drug Lab's SOPs. The discovery was made by Sprague while entering test results for samples into the computer database. As she entered results, the database indicated that the sample had not yet been assigned to a chemist. At that time, Sprague examined the physical log book and determined that there was no indication of a chain of custody transfer for these samples. Sprague's supervisor, O'Brien, confirmed her findings and notified Nassif of the breach. O'Brien, Nassif, and Salemi subsequently met as a group to determine next steps. No copy was made of the page from the physical log book that had missing initials/signatures. On June 20, what had previously been confirmed as blank entries in the log book were discovered to have been subsequently completed, documenting transfer of samples from

<sup>4</sup> Employee Performance Review Forms (EPRS) were only included in the personnel file for 2004-2007. Incomplete performance review documentation is unfortunately, not an unusual or unique situation.

Please refer to chart below displaying the testing trends of AD compared against 2<sup>nd</sup> highest chemist's test, total FTEs, total annual tests, and mean chemist testing patterns.

<sup>6</sup> Please refer to MDPH Investigation Summary, February 29, 2012, for specific details regarding witness statements and timeline of events from June 2011 breach.

Evidence Officer Gloria Phillips (Phillips) to Dookhan on June 14, 2011. A review of Phillips' time logs indicated that she was on leave on the day in question, and therefore, was not present to make corrective entries. O'Brien, Nassif, and Salemi confronted Dookhan on June 20 about the missing initials/signatures and then finding this information completed after that discovery. Dookhan denied falsifying entries to the log, though it remained the opinion of her supervisors and the Evidence Officer that Dookhan had both violated proper protocol for release of samples and retroactively falsified log entries.

Salemi and Nassif agreed that the best course of action involved removing Dookhan from testing duties and re-assigning her to desk duties effective June 21, 2011. Dookhan's physical workspace was moved outside the Forensic Drug Lab. According to Nassif, Dookhan's access to the Drug Lab was not immediately revoked. Dookhan's access to the Evidence Room was later restricted (*DPH to confirm date w/Salemi*).

In addition to reassigning her to work outside the laboratory, Salemi and Nassif changed Dookhan's reporting relationship from Salemi to the Division Director. Nassif met with Han about the situation within several days of discovering the breach in documentation. The breach and the re-assignment in duties and supervision were not reported to the EOHHS Human Resources. After internally reviewing the matter, Nassif and Salemi interpreted the irregularity as an isolated documentation failure, and concluded that the integrity of the test results was not compromised. Neither Nassif nor Han notified the Commissioner's Office, Office of the General Counsel, or EOHHS HR about the situation with Dookhan, and the test results were reported to the relevant enforcement authorities.

A total of 90 samples were identified as those that had been removed by Dookhan from the Evidence Room without proper protocol. All were from Norfolk County, including 84 from Quincy and six from Wellesley. Between the time of her removal from testing duties and departure from the MDPH, Dookhan did not testify in court on any of the cases involving these samples. She was summoned to appear at one case in Quincy (Hawker) on December 18, 2011, but the case did not go forward.<sup>7</sup>

During this same time period, MDPH began working directly with the Executive Office of Health and Human Services (EOHHS) and the Executive Office of Public Safety and Security (EOPSS) on a plan that would involve transferring the drug lab operations and personnel to EOPSS as of July 1, 2013 (FY13). It was during these planning meetings that EOHHS HR/Labor learned of issues with Dookhan from Nassif. As staff on the proposed transfer list were reviewed, Dookhan was identified as someone who would not be part of the transfer. Nassif shared information about the breach at that time, and the EOHHS HR/Labor staff immediately notified Monica Valdes Lupi (Valdes Lupi), MDPH Deputy Commissioner about the situation in early December 2011.

Nassif stated that the breach and re-assignment were not issues that she felt rose to the level of notifying HR/Labor or the Commissioner's Office. At the time of the incident, she felt that it was an isolated event with a high-achieving chemist who had been working too hard and experiencing a lot of personal challenges. In a separate interview, Han relayed that while she did not personally know Dookhan, she understood from Nassif that Dookhan was considered a valued employee who may have erred because she was performing a high volume of tests and spending much of her time at the lab.

#### *Formal Investigation of Annie Dookhan in December 2011*

<sup>7</sup> See appended summary of cases and pertinent discovery motions. MDPH is in process of verifying information regarding Dookhan's appearances in court.

Valdes Lupi notified MDPH Commissioner Auerbach about the breach and recommended that they launch a formal investigation recognizing the potentially significant impacts of the breach in protocols that occurred in the Lab. The Commissioner's Office assigned Steve Chilian (Chilian), Deputy General Counsel at the MDPH, to conduct the investigation solely on the allegation of whether the transfer of numerous samples from the evidence office to the lab for testing was properly assigned and recorded in accordance with drug lab protocols. By design, the investigation was focused on the documentation incident, with targeted interviewing of key staff and without a more extensive examination of policies and procedures within the Drug Lab or of the integrity of the QA/QC systems.

Key staff, including Han, Nassif, Salemi, O'Brien, and Dookhan were interviewed on December 21–22, 2011. Draft versions of the investigation report were reviewed in consultation with the Commissioner's Office, EOHHS HR, and other state attorneys over the next several weeks. Additionally, an outreach plan was submitted to EOHHS on January 13, 2012, which provided details regarding proposed communication with stakeholders. The outreach plan was finalized on or about February 15, 2012. A final version of the report was submitted to key staff in these offices on February 29, 2012 as appended.

The investigation conducted was focused on the specific question of sample transfer and documentation inconsistencies. At the time, this approach was taken because it was reported to the Commissioner's Office and Chilian that "the chemist had been conducting forensic drug analysis for over eight years and during that time had been a stellar, reliable employee with a reputation for diligent work, long hours and most significantly, the accurate and efficient analysis of samples. All the samples were tested and no samples were missing. [REDACTED]

[REDACTED] Lab supervisors believed that the analysis of the samples, without following appropriate protocol, was simply a result of the chemist's desire to reduce the backlog of requests for testing. There was no question concerning any other motive."

The investigation's conclusions noted that "based upon a preponderance of the evidence collected during the course of this investigation through interviews and review of documentation, it can be concluded that Dookhan failed to follow Lab protocols for the transfer and documentation of samples for testing, and subsequently created a false record of said transfers." The investigation noted that Han and Nassif had not reported this incident to DPH Commissioner or General Counsel because they did not appreciate its potential legal significance and because of their opinion that the test results had not been affected. The conclusion of Lab leadership that the samples had been accurately tested was based upon a number of factors, including the standing and work history of Dookhan. The chemist had been conducting forensic drug analyses for the MDPH for more than eight years at that time, and had a reputation for diligent, accurate, and efficient work.

#### *Notification of Legal Community*

Beginning on January 31, 2012, the Governor's Legal Counsel notified Norfolk County District Attorney Michael Morrissey and the United States Attorney General Carmen Ortiz, as well as the Massachusetts District Attorneys Association. MDPH General Counsel followed up with the Norfolk County District Attorney's Office and the U.S. Attorney General's Office, Massachusetts District, and retests of samples were conducted when requested.

On February 1, 2012, recognizing the potential breadth of legal impact of the violations of chain of custody, Bureau leadership sent a letter to the Norfolk County District Attorney detailing the irregularities. The MDPH notified the Norfolk County District Attorney that there was no evidence that



the chain of custody infractions had an impact on the integrity of the samples or of the accuracy of the sample analysis.<sup>8</sup>

In early February 2012, MDPH General Counsel Donna Levin (Levin) communicated with Jean Marie Carroll, the Deputy District Attorney (Carroll) in the Norfolk DA's Office where the cases involving the 90 samples were at issue. Carroll indicated on February 14, 2012 that given the information relayed to her about the breach in protocol, Dookhan would not be called to testify in these cases or any cases in Norfolk County. Levin and Carroll discussed requests for retesting of samples for cases going to trial and retesting was done as requested. Levin also spoke with Attorney Jim Lang (Lang) in the United States District Attorney's Office about a federal case involving Dookhan but unrelated to the 90 samples. Lang requested retesting of pertinent samples, which was completed as bid.

Chilian advised Han and Nassif that Dookhan should not testify on the cases involving any of the 90 samples and to advise the Legal Office if she was subpoenaed. MDPH's understanding is that Dookhan did not testify in any of these cases. MDPH has reviewed a log of Dookhan's time spent in court on various cases unrelated to the 90 samples. However, this document does not indicate whether a given trial went forward or whether Dookhan testified. MDPH Office of the General Counsel is conferring with the AGO to determine if and when Dookhan has testified in any case since June 2011.

On February 21, 2012, Han sent a follow up letter to the Norfolk County District Attorney with additional details on the results of the investigation. The February 21 letter was disseminated to all County District Attorneys offices in the Commonwealth.

#### *Departure of Dookhan*

While the investigation report and outreach plan were being vetted, and upon confirmation that a significant breach of protocol by Dookhan occurred, the MDPH began proceedings to end her employment. Effective February 21, 2012, pending a Show Cause Hearing, the MDPH placed Dookhan on a paid administrative leave of absence. Dookhan's MOSES union attorney accompanied and consulted her in meetings with EOHHS HR/Labor regarding the terms of her resignation. Factoring in the desire to end Dookhan's employment in a timely way without a lengthy union challenge and her prior positive work record, MDPH agreed to a separation. In consultation among the Bureau, the Commissioner's Office, General Counsel and EOHHS HR/Labor, and in the interest of avoiding a prolonged termination process with uncertain outcome, the MDPH elected to accept Dookhan's resignation on March 8, 2012. The parties agreed to a separation agreement effective March 9, 2012.<sup>9</sup>

#### ROOT CAUSE AND GAPS ANALYSIS

On August 31, 2012, the MDPH convened a team of senior leaders from across the Secretariat and the Agency to complete a review of circumstances that surrounded the improprieties at the Drug Lab involving Dookhan.<sup>10</sup> This Team conducted interviews of key Bureau of Laboratory Sciences leadership, including Han, Nassif, and a former Acting Bureau Director (Dr. Alfred DeMaria). The Team reviewed policies and procedures and assessed compliance with optimal laboratory standards. The Team developed a comprehensive process mapping tool to understand key problems and vulnerabilities

<sup>8</sup> Please see letters to Norfolk County District Attorney Michael Morrissey attached, dated February 1 and February 21, 2012.

<sup>9</sup> Please refer to copy of settlement agreement in AD personnel file for terms/conditions, as well as her letter of resignation.

<sup>10</sup> Team members included: Commissioner John Auerbach; Deputy Commissioner Monica Valdes Lupi; General Counsel Donna Levin; Iyah Romm, Director of Policy and Strategic Planning, Bureau of Health Care Safety and Quality; James Montgomery-Hyde, EOHHS HR Director; Dr. Al DeMaria, Chief Medical Officer, Bureau of Infectious Disease Prevention and Response.

that may have contributed to unidentified irregularities. Additionally, the Team has developed an understanding of possible root causes and potential quality assurance and quality control gaps.

As stated above, the Forensic Drug Laboratory utilized the *SWGDRUG* standards to guide its work. However, while *SWGDRUG* provides some minimum generalized direction, it lacks specificity in expected action steps. For example, the standards require that protocols exist to insure the integrity and security of the evidential material but do not detail what policies, procedures, or protocols should include. Therefore, in considering the deficiencies of the forensic drug laboratory, our analysis includes both comparisons with *SWGDRUG* minimum standards, as well as a higher level of expectation of performance of the agency.

### *The Inherent Dangers within Laboratory Settings*

Within the Forensic Drug Laboratory, as in many other laboratories, there are staff who work somewhat independently at the laboratory bench-top. Often without a supervisor within the immediate vicinity, staff are trusted to carry out a number of key tasks such as weighing drug samples, performing certain chemical tests, and describing the observable physical characteristics of a sample. There are safeguards that are put in place to limit the likelihood of malfeasance or poor quality work. These include: 1) careful review by a supervisor of the required written documentation of essential sample characteristics by the chemist for each test performed, and 2) periodic random re-testing of the chemists' results by a supervisor. At the Forensic Drug Laboratory, these measures and others were taken yet they failed to identify the alleged wrongdoing of Dookhan. These events demonstrate the damage that can potentially be done by a rogue employee who can maliciously manipulate the testing and documentation process to minimize the chance of discovery – as may well have been the case in this instance. Certain conditions at the Forensic Drug Laboratory might have enhanced this vulnerability. For example, there were numerous instances when chemists worked alone rather than as teams or side-by-side.

### *Systems and Infrastructure*

In addition to the inherent vulnerabilities potentially associated with a skilled but rogue employee, it is also clear that there were weaknesses in the Forensic Drug Lab, which could and should have been addressed:

- **Insufficient Safeguards on Access to the Evidence Room and Safe:** In its initial investigation from December 2011 – February 2012, MDPH identified that insufficient standards were in place regarding access to drug samples. Prior to changes in protocol initiated subsequent to the Dookhan protocol breach, access to the Evidence Room was gained either through a keyed lock or through a palm reader. Chemists and Evidence Officers both had key and palm access. After close of business, an alarm in the Evidence Room was activated and only the Lab Supervisor and Division Director had the override codes. By policy, chemists were not allowed to enter the Evidence Room without an EO present. However, the palm reader system did not record a log of entries or a mechanism to flag inappropriate entrance. Upon investigation of Dookhan in June 2011, the Lab Supervisor (Salemi) noted that the Evidence Room keys he had provided to the chemists also opened the evidence safe. Upon discovery, Salemi replaced the lock to the evidence safe. Salemi noted at the time of his interview in December 2011 that he did not believe that chemists were aware that their keys also opened the safe.

In light of recent information regarding Dookhan's admission of malfeasance, it appears that she had access to areas of the lab without authorization, and she took samples without following the required documentation protocols.

- **Absence of Camera Surveillance:** The evidence regarding efficacy of surveillance cameras in the prevention of tampering is equivocal. Nonetheless, surveillance cameras may have been a tool to deter grossly inappropriate or negligent activities, including entering restricted space without authorization. However, cameras would have been less effective for ensuring that tests were being conducted appropriately at the bench. Surveillance cameras may be beneficial for retrospective review after identification of irregularities or potential malfeasance, and for monitoring activities of chemists and EOs who work after normal business hours. Several other laboratories at the Hinton facility have surveillance cameras often as a requirement of federal or laboratory accreditation. Examples include bioterrorism, viral isolation, and tuberculosis.
- **Absence of a Mechanism to Detect or Monitor Adverse and Poor Quality Events:** As a component of QA/QC, there must be a mechanism that detects unusual or unacceptable occurrences related to quality. One routine method of tracking such events in a laboratory setting is through the use of a discrepancy or adverse events log. A discrepancy in this setting refers to instances in which the results of two (or more) chemists are discordant. At the Drug Lab, samples inconclusive for reasons of discord are returned to the *Primary* chemist who is principally responsible for resolving the cause of the discrepancy. This process is referred to as a "return." Anecdotally, co-workers noted that there was an increase in the number of returns associated with Dookhan beginning in January 2011, but due to the lack of a centralized process for tracking these instances, this allegation cannot be confirmed.<sup>11</sup> Returns are an important indicator of a potential lapse in test quality, but the Drug Lab did not have a written mechanism in place to capture and monitor these data routinely. Unlike the Forensic Drug Lab, virtually all of the other 17 laboratories at the Hinton Lab maintained a form of discrepancy or adverse events log. Maintenance of such a log as well as ongoing tracking of volume of routine concerns or issues should have been a standard practice in the Forensic Drug Lab. *SWGDRUG* quality control and quality assurance standards require a process to identify and monitor such occurrences but do not specify a preferred method.

#### *Management, Supervision, and Expertise*

- **Lack of Close Supervision and Oversight:** While well trained in chemical analytic work and laboratory oversight, Nassif did not have experience with the Forensic Lab prior to the Lab's transfer to her Division. Nassif relied heavily on Salemi, the Drug Lab Supervisor, for subject matter expertise. Nassif met with Salemi on an *ad hoc* basis, not during regularly scheduled meetings. Initially Nassif chaired a monthly meeting of all Lab staff. Yet, after the *Melendez-Diaz* decision in 2009, Nassif reported that she found it increasingly difficult to meet with staff because of their increasing commitments requiring their participation in court proceedings.

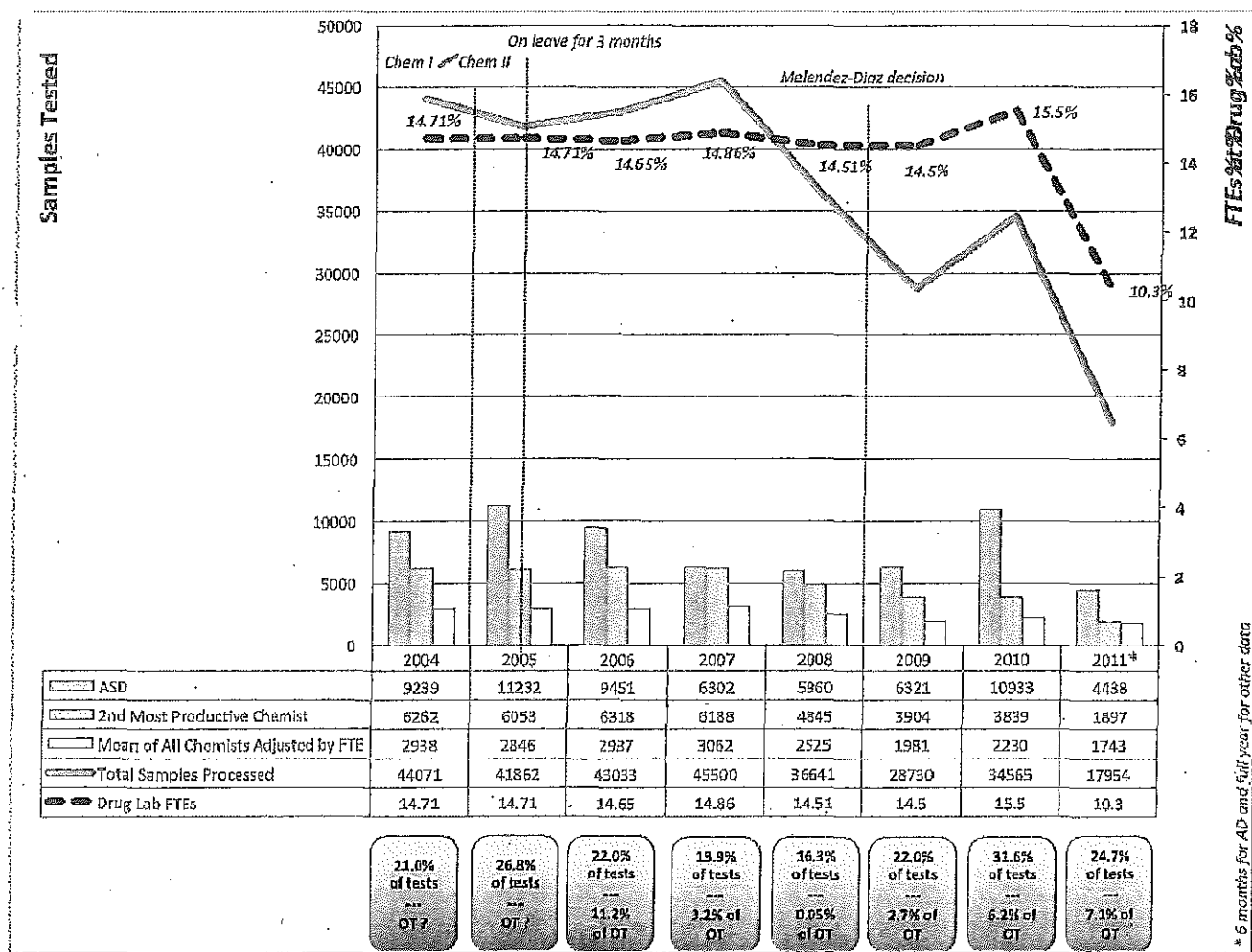
The lack of careful review and oversight is clearest with regard to the insufficient attention to Dookhan's unusually high volume of testing. From January 1, 2004, through December 31, 2011, Dookhan was assigned 25.3% of all analyses in the Drug Lab and completed 21.8% of all

<sup>11</sup> See memorandum attached to Major James M. Connolly, FSG from Dr. Guy Vallaro, FSG dated July 19, 2012 in which Dr. Vallaro describes a series of conversations with Michael Lawler (Chemist 3), Peter Piro (Laboratory Supervisor 1), Ken Gagnon (Laboratory Supervisor 3), and Charles Salemi (Laboratory Supervisor 2) after assuming leadership of the Lab.

HINTON LABORATORY DRUG LAB INTERNAL INQUIRY  
CONFIDENTIAL DOCUMENT – FOR POLICY DEVELOPMENT AND ATTORNEY-CLIENT COMMUNICATION ONLY

tests conducted by staff. The *Melendez-Diaz* decision in 2009 significantly hindered the overall volume of testing at the Lab because chemists spent more time in court. Despite the significant decrease in overall testing from 2008 to 2009 (a reduction of more than 16,000 samples), Dookhan's productivity remained relatively stable, decreasing by only 305 tests assigned. In 2008, Dookhan completed 16.3% of all tests in the Lab, 22.0% of the total in 2009, 31.6% of the total in 2010, as well as 24.7% of the annual total in 2011 despite only testing from January 1 to June 21. These indications should have prompted closer attention to her work.

During interviews on September 4, 2012, Valdes Lupi and Montgomery-Hyde were told by Nassif that there were concerns that Dookhan's productivity seemed unusually high. Nassif noted that as a result, Salemi conducted a limited audit of Dookhan's work (*date*), which revealed no technical inconsistencies or other quality-related problems. Nassif reported that this audit consisted of repeating the primary and confirmatory tests for selected samples previously tested by Dookhan. MDPH and EOPSS are collaborating to identify written confirmation of this audit. No subsequent audits targeted Dookhan differentially from other chemists.



Dookhan's consistently high testing volumes should have been a clear indication that a more thorough analysis and review of her work was needed.

- **Lack of Specialized Quality Control Oversight:** In 2007, as resources decreased, the centralized Hinton Laboratory QA/QC oversight team was phased out. While at the time prioritizing the retention of front-line staff and assigning the quality control monitoring to each individual laboratory seemed the optimal decision, processes for ensuring quality and validity of

work were not sufficiently maintained in the Forensic Drug Laboratory. MDPH is in the process of locating and subsequently reviewing the oversight team's audits of the Drug Lab.

- **Poor Judgment Regarding the Response to the Violation of Mandated Protocols:** The June 2011 irregularities involving chain of custody should have been reported to the Commissioner's Office and the Office of the General Counsel immediately upon identification at the Forensic Drug Laboratory. Han acknowledges that she and Nassif did not recognize the significance of the breach and its impact on court cases. Han and Nassif received a cautionary letter in March 2012 disciplining them for this lack of disclosure, and were reprimanded for their failure to disclose the breach in a timely manner. Nassif was placed on administrative leave effective August 30, 2012.

The DPH Central Office responded appropriately in December 2011, by conducting an investigation of the June breach, notifying the Norfolk County District Attorney's Office regarding the 90 cases and beginning the process to terminate Dookhan. However, the scope of its investigation was too narrow. A broader, more thorough investigation of the operations of the Forensic Laboratory was indicated. Had a more comprehensive investigation been conducted, the issues uncovered by the EOPSS/AGO investigation might have been detected earlier.

#### PROACTIVE REVIEW OF QA/QC IN OTHER HINTON LAB FUNCTIONS

In recognition of the need for proactive assessment of quality assurance and quality control practices throughout the Hinton Lab, the MDPH has engaged the services of the Association of Public Health Laboratories and the Centers for Diseases Control and Prevention to conduct a multi-day, on-site audit of all 17 remaining public health laboratories. In addition, most of the 17 laboratories are certified by federal oversight agencies, which regularly audit and assess the quality of their work. DPH will request that each of these oversight agencies return to the Hinton Lab to reassess the quality of services provided. These multiple external expert evaluations will include the review of policies, procedures, protocols and staffing ratios and will assess compliance with national and international standards.

HINTON LABORATORY DRUG LAB INTERNAL INQUIRY  
CONFIDENTIAL DOCUMENT – FOR POLICY DEVELOPMENT AND ATTORNEY-CLIENT COMMUNICATION ONLY

# **GOLDBACH ATTACHMENT D**

## OVERVIEW

- Gas Liquid Chromatography/Mass Spectrometry Principles
- Operator Scheduling
- Receiving Samples
- Instrument Preparation and Tuning/Instrument Quality Control
- Running Samples/Method Quality Control
- Analysis of Results
- Reporting Results
- Filing Paperwork, Data Backup And Data Retrieval
- Laboratory Expectation of the Analyst



## GAS LIQUID CHROMATOGRAPHY/MASS SPECTROMETRY (GLC/MS) PRINCIPLES

GLC/MS is the primary form of spectrometry employed by the Drug Laboratory to structurally identify controlled substances. Unlike other true forms of spectroscopy that are non-destructive in nature, mass spectrometry does not rely on the selective absorption of electromagnetic radiation. Rather, its spectrum is largely determined by the energetics of unimolecular reactions. Structural information comes from moderately predictable fragmentation patterns, the ions of which can be related back to the compounds original structure.

GLC/MS (referred to as GC/MS hereafter) is a two-stage instrument. The GC portion separates the individual components of a mixture. A vaporized sample will undergo a process of dissolving in the stationary liquid phase and then revaporizing into the mobile gas stream. Dissimilar distribution coefficients in the two phases are the driving force for GLC separation. Retention times are affected by the compound's boiling point (low boilers have higher vapor pressures and travel through the column faster than high boilers), column temperature, the carrier gas flow rate, stationary phase selection (polarity), and column size (inner diameter, film thickness and length).

The chromatographic peaks are detected via an electron impact-mass selective detector (EI-MSD). EI-MSD's essentially perform three basic functions: ionization in the source body, mass separation in the quadrupole and ion detection by an electron multiplier. All three functions are performed under vacuum conditions as components elute from the column (10-5 torr accomplished with a mechanical pump or roughing pump in series to a high vacuum pump). Low operating pressures are necessary for an adequate mean free path (an ion's average distance traveled between collisions). Ions must be able to travel from their point of origin to the detector without colliding with air, non ionized/ionized molecules or the instrument. Collisions mean an ion may not be detected at all (scattered or neutralized) or incorrectly identified because of intermolecular reactions.

Electron impact (ionization) is the method by which ions are formed and MSD, as the name implies, selectively measures the abundance of each ion one mass at a time. The ion source is where electrons from a heated filament bombard eluting components. Ion source filaments emit electrons of a certain energy level (70 eV for "classical" spectra) using a specific emission current that determines the number of electrons used for ionization. Ionization removes one valence shell electron from the analyte molecule, creating a positively charged ionic species known as the parent compound or molecular ion ( $M^+$ ). (As the electron passes close to the molecule, the negative charge of the electron repels and distorts the electron cloud surrounding the molecule. This distortion transfers kinetic energy from the fast moving electron to the electron cloud of the molecule. If this process transfers enough energy, the molecule will eject a valence electron and form a radical cation.) The molecular ion is the compound's nominal mass, measured in unified atomic mass units (u), with the most common isotopes represented in nature. Even though 70eV is used to form the molecular ion (ionizing approximately 0.01 % of the sample), only a small portion of that energy is transferred to the

molecule to create a positive ion radical (cation-radical). These ions exist in an excited energy state and are very reactive as they try to find a lower energy state. (Electron capture, creating a negative ion radical (anion-radical), does not occur to a significant extent since bombarding electrons have an excessive amount of translational energy to be captured.) Once a compound enters the ion source (See Figure 1) and becomes ionized, it typically fragments into other cations, neutral species and radicals (species with no charge but with an unpaired electron). Each ion has a particular ratio of mass to charge, or  $m/z$  value. For most ions the charge is 1 and the mass to charge ratio ( $m/z$ ) is simply the mass of the ion. Charged species are then pushed out of the source into the quadrupole by the repeller in conjunction with voltages applied to the ion focus lens and entrance lens. (The repeller possesses a positive voltage that repels cations out of the source, affecting the number of ions leaving the source and their velocity. If the voltage is set too high, too many ions at too high a velocity will leave the ion source. This may result in precursors or poor mass filtering, peak splitting and poor low mass resolution. If the repeller is set too low, too few ions will leave the source, resulting in poor sensitivity and poor high mass response).

A quadrupole mass filter consists of four poles, or rods. In cross-section of a quadrupole, the four rods are arranged at the corners of a square. The four poles were formally Molybdenum rods milled to a hyperbolic shape. The 5973 MSD uses a glass monolith with a hyperbolic cross-section that is coated with a thin layer of gold to create an electrically conductive surface. Diametrically charged rods work in tandem as a set. One set has a positive DC voltage applied to it ("positive rods"). The other set has a negative DC voltage of the same value ("negative rods"). In addition, all four rods have a superimposed RF voltage of alternating polarity, with the RF voltage 180 degrees out of phase for each set of rods. The  $m/z$  value transmitted by the quadrupole is determined by the electric field produced by the DC and AC voltages. If the mass of the ion is too low, the ion is pulled off axis toward the positive rods and never passes out the exit of the quadrupole mass filter. If the mass of the ion is too high, the oscillations toward the negative rods increase until the ion hits a negative rod or is ejected from the side of the mass filter. Only if the ion has a particular mass will its oscillations be stable in the mass filter and only this mass will exit the end of the mass filter to be detected by the electron multiplier. The mass spectrum is scanned by varying the amplitude of the DC potential ( $U$ ) and radio frequency potential ( $V$ ), while keeping the RF frequency and  $U/V$  ratio constant. Tuning the MSD optimizes the  $U/V$  ratio and the calculated result is saved in the tune report file. The concepts of amu gain and offset are represented in Figure 2, otherwise known as the Mathieu Stability Diagram. It is a plot of DC voltage versus RF voltage and defines an ions stable trajectory in the quadrupole. The slope ( $U/V$ ) mathematically represents amu gain and amu offset is the DC intercept on the y-axis. Increasing/decreasing the amu offset will have an equal effect across the entire mass range. Increasing/decreasing the amu gain will have an effect on low mass but a much, much greater effect on high mass. The determined values for amu gain/offset effect abundance and resolution by determining the cut-off for peak width

Positively charged ions exiting the quadrupole are focused through a detector-focusing lens. Ions are subsequently deflected into the electron multiplier, located off-axis to the analyzer, either by an X-ray lens or a High Energy Dynode (HED). Both function to accelerate ions into the multiplier and to reduce the number of stray particles entering the detector. In the 5973, a HED (at -10,000 volts) attracts positively charged ions exiting the quadrupole, generating electrons that are attracted to the more positive electron multiplier

(relative to the HED at -3,000 volts). The X-ray lens focuses positive ions into the electron multiplier. In either case, incoming ions hit the surface of the electron multiplier, liberating more electrons with every impact from the surface as they cascade down the horn. Every ionic particle that leaves the ion analyzer and enters the ion detector contains a given amount of electricity (10-19 coulomb per singly charged particle). As the number of ions arriving at the detector at a given moment increases, the amplified output of the detector increases proportionally. The electron multiplier performs signal amplification on the order of  $10^5$ . At the end of the horn, the current generated by the electrons is carried out to a signal conditioning circuit. See Figure 3

Prior to every new run, the operator will tune the MSD. The tuning algorithm optimizes the performance of the MSD by maximizing sensitivity while maintaining acceptable resolution and accurate mass assignment. Stated differently, tuning will primarily perform four basic functions; to set voltages on ion source elements, to set amu gain and offset for correct peak widths, to set EM voltage, and to set the mass axis for proper mass assignment. Standard spectra tune is a tuning process that ensures a standard response over the full mass range. The tuning compound PFTBA (Perfluorotributylamine) produces a characteristic spectra that has mass 69 as the base peak and the relative abundances of mass 219 set between 30 and 99 % and mass 502 greater than 1%. Standard Spectra Tune optimizes ion source components only to maximize the abundance of mass 502. Standard Spectra Autotune (5971) is also referred to as Standard Spectra Target Tune (5973) since the relative target abundances of mass 50,131,219,414, and 502 are set at 1,55,45,3.5 and 2.5. That is, the 5973 MSD performs a target tune using standard spectra targets. Historically these targets have been used to duplicate spectral results from magnetic-sector instruments used in the 1970's when most of the commercial libraries were created.

### OPERATOR SCHEDULING

When an operator is assigned to work in the GC/MS laboratory, work is assigned on a first come, first serve basis. Operators with early morning schedules should assume they are responsible for setting up runs if samples allow. Partially full runs should be setup in anticipation of forthcoming samples. Likewise, those working later shifts are responsible for setting up runs of leftover samples and late arriving samples. Efficiency issues arise when one shift leaves work for the next shift, especially during the end of the month with respect to last minute submissions.

Operators and team leaders are assigned to a given instrument and are collectively responsible for its use. They are responsible for making arrangements with other operators of that instrument if they knowingly are not able to come to work or if special scheduling problems conflict with their ability to perform GC/MS duties. Bring any situation that is out of the ordinary to the MS Supervisor.

Scheduling also depends on how the instruments are functioning. If maintenance or repairs are required, operators will be relieved of their duties until their system is up and running. Operators needing to borrow another instrument should make arrangements in advance with the appropriate operator.

## RECEIVING SAMPLES

Samples are submitted to the GC/MS laboratory on a Drug LabGC/MS control sheet along with their respective cards. The GC/MS staff is responsible for noting on the control sheet the day samples are received along with their initials acknowledging receipt. Samples are then separated into three separate categories: cocaine samples, heroin samples and all other samples. Analysts submitting samples to the all other category should make an effort to cluster as many like samples as possible on one GC/MS control sheet.

The physical characteristics of submissions need to be examined and operators should return samples that are not suitable for autosampling. An excessive amount of powder in a vial greatly increases the probability of getting a blocked needle. For example, an excess of 2-3 mm of powder should be discouraged as it greatly increases the probability of false negatives. The operator should question samples with negative results, in view of positive preliminary results. Is the sample really negative or did an autosampling malfunction occur? Such samples can be quickly screened under Top in the single injection mode or simply placed on a different run sequence after filtering. Solid materials, in excess of 3 mm, in either a residue or standard vial possess the possibility of damaging the syringe and causing a system fault that terminates the run.

Analysts/teams that work in the GC/MS laboratory must place their samples in chronological order and never give their samples special preference. Samples should not normally be taken out of order. One notable exception is at the end of the month for significantly older samples. Larger multiples should also be put aside during this time in favor of single samples to maximize the number of tested cases.

Certain compounds need to be submitted in the base form for chromatographic reasons. Analysis of these samples in their salt form gives split/non-symmetrical peaks and prevents the operator from getting an accurate retention time. The following samples should be returned to the primary chemist if not submitted in the base form: MDMA, methamphetamine, amphetamine, 1-benzpiperazine, and phentermine.

## INSTRUMENT PREPARATION AND TUNING/INSTRUMENT QUALITY CONTROL

- The Auto-Liquid Sampler (ALS) rinse bottles must be emptied, washed out and refilled with the appropriate solvent. Waste bottles should be emptied and washed out.
- The injector septum must be replaced on every new run. Exercise extreme care not to strip the septum nut and split/splitless insert weldment. The first few turns should go on smoothly. If an excessive amount of resistance is encountered, back off the septum nut and restart the process.
- Printer paper must be replaced before every new run.

- The needle plunger should be lubricated with methanol daily and periodically cleaned with Kimwipes.
- Carefully install tower over the injection port. Make sure it is properly aligned and that the tower door is closed.
- On the day a sequence is initiated, perform PFTBA (perfluorotributylamine) Standard Spectra Tune in the following way.
  - On the 5973, go to View under instrument control (TuneMS under Top on the 5971) and hit Manual Tune. Go to File and Load Tune Values if the appropriate tune file is not already loaded.
  - Go to Execute and hit Spectrum Scan to quickly check for air leaks. If an air leak is not present, go to the following step.
  - Go to Tune and hit Standard Spectra Tune (standard spectra autotune on the 5971).
  - If the tune results are satisfactory, go to File and Save Tune Values. Save tunes in either the "Stune.u" (5973 MSD) file or "Atune.u" (5971 MSD) file.

Make sure the following parameters are within specified tolerance levels or set properly: mass assignment, unit mass resolution, peak widths, mass 69 abundance and relative abundance of 219 and 502, isotope ratios, foreline pressure, source and quadrupole temperatures. Readings outside the established range should be reported to the MS Supervisor. Peaks in the profile scan should be symmetrical. Air leaks can also be detected in the spectrum scan portion of the tune. Note day-to-day trends in the electron multiplier voltage and lens voltages. Report any significant increase/decrease to the MS Supervisor. Higher tune voltages may indicate the need for a source cleaning or a problematic electron multiplier.

**5973/5971      Relative Ratios for Prominent Masses**

	<b>5973</b>	<b>5971</b>
m/z 69	base peak (100%)	base peak (100%)
70/69	> 0.5 but < 1.6 %	0.54- 1.6 %
219/69	> 40% but < 85 %	> 30 %
220/219	> 3.2 but < 5.4 %	3.2- 5.4 %
502/69	> 2.0 % but < 5.0 %	> 1 %
503/502	> 7.9 but < 12.3 %	7.9- 12.3 %

Source temperature: 230 C

Determined by the transfer line temperature setting and convection efficiency.

Quadrupole temperature: 150 C

Automatically set

Foreline Pressure: 40-60 mTorr

- Mass 69 abundance: > 200,00 but < 400,000
- Mass peak width (PW50) should be 0.55 + 0.1 (default) for the 5973 and 0.50 + 0.1 for the 5971 MSD.
- Mass assignment can vary by  $\pm 0.1$  amu on each tuning mass and isotope mass.
- Note isotope ratio tolerances above. Isotope ratios for 70/69, 220/219 and 503/502 should be close to 1, 4, and 10. The 69 fragment ions have one carbon atom, the 219's have four and the 502's have nine. The natural abundance of C13 is 1.1%, which



explains the observed isotope abundance (1,4, and 10%) one mass unit away (due to the extra neutron of C13). Proper isotope ratios can be used to indirectly assess unit mass resolution.

- Agilent guarantees that their quadrupole mass analyzer will achieve unit mass resolution throughout the mass range. Unit mass resolution is achieved because peak widths are kept fairly constant throughout the mass range. The analyst can use two additional criteria (aside from isotope ratios) to assess unit mass resolution. The first criterion uses a 50% valley separating peaks one mass unit apart, in conjunction with peak width or Full Width at Half Maximum (FWHM). The second criterion experimentally measures  $\Delta M$  using the isotope apex of each tuning mass. In the first criterion, if the height of the valley is above half height or 50%, masses are not resolved since there is no peak separation at FWHM. Using the manufacturer's defined range for peak width (FWHM) ensures unit resolution. Unit resolution means two adjacent peaks in a mass spectrum are resolved sufficiently so that the peak height of either peak is not appreciably affected by overlap. In the profile scan of the tune (the top portion showing an extracted ion chromatogram) check that adjacent isotopes are resolved. Historically, the height of the valley between isotope peaks is around 5% or less relative to the larger peak (25% or less relative to the smaller isotope peak). In the second criterion, the laboratory measures unit mass resolution ( $\Delta M$ , the amount of separation between two ions of similar mass). For low resolution quadrupoles unit resolution allows the instrument to discriminate between peaks 1 mass unit apart. On the bottom part of the tune that shows a full spectrum scan, isotopic masses should be one mass unit apart. If unit mass resolution is not achieved, notify the supervisor for corrective measures. Peak width and target abundance may need to be adjusted for a satisfactory tune or a source cleaning may be necessary.
- Air leaks above 5% should be reported. On the 5971 MSD, an air and water check will give relative abundance for water (mass 18), nitrogen (mass 28), oxygen (mass 32), and carbon dioxide (mass 44). The 5973 MSD will give the relative abundance of water and nitrogen. Oxygen and carbon dioxide can be approximated from the graphical output. If an air leak is present, the ratio of  $m/z$  28 to  $m/z$  32 will be about 5:1. See Figure 4 for a list of contaminants and their possible source of origin.
- Electron multiplier voltage (EMV) should be less than 2500. 3000 is the upper maximum. Notify the supervisor if the EMV is above 2500.
- At the present, the relative target abundance (on the 5973 MSD) for mass 50,131,219,414, and 502 are set at 1,55,45,3.5, and 2.5. The 5971 MSD does not give operators access to these parameters.
- The full spectrum scan should contain < 200 peaks (typically 90-150). Report tunes with an uncharacteristically high number of peaks.
- Operators on the 5973 may perform a system verification tune if questions arise about the status of the MSD. This evaluation allows the analyst to check the MSD doing a maximum sensitivity tune (maximizes the abundance of tuning mass 69,219 and 502) not a standard spectra tune. It will not verify if the last standard spectra tune passed all Drug Laboratory standards but it is a good starting point as a diagnostic tool.
- Individuals who make use of the equipment are responsible for determining whether or not the instrument has been qualified for operation. Instrument

quality control (MSD tune) and method quality control (blanks and standards) are the determining factors for use.

### RUNNING SAMPLES/METHOD QUALITY CONTROL

Quality control for the GC/MS laboratory goes beyond tuning the detector. Operators must insure carry-over does not exist between samples or between a standard and sample. This is accomplished by running blanks (the solvent that the sample is dissolved in) between all vials, both standards and samples. For blanks with carry-over above column bleed levels, the following sample should be re-analyzed. After time, fresh blanks need to be prepared due to material leaching out of the cap's septum. The origin of these peaks can be explained and are not considered to be of any significance. By the same token, standards should be recapped after one or two uses if they are to be reused for weeks and months at a time. Some samples/blanks may have peaks that come from late eluters. As long as the origin of these peaks can be explained and they're not a controlled substance, then repeating these samples is not necessary. However, a controlled substance must be analyzed using the appropriate method if it is to be reported.

Samples are always bracketed by standards. Bracketing standards are used after every tenth sample when possible. Plus or minus a few samples is acceptable. This ensures the instrument is operating properly at the beginning, middle and end of the sequence with respect to retention time and spectrum. If the instrument malfunctions at the very end of a sequence, the majority of the samples can be analyzed up to the last satisfactory standard. If one of the standards in the middle does not come out correctly (i.e. temporarily plugged needle), the operator can use the next standard as a bracketing standard assuming nothing else is out of the ordinary. Running standards is also crucial for new compounds. For example, it may be possible to run a known standard and get no spectral match if the compound breaks apart in the injection port or if the compound reacts with the solvent. In the latter case, using a different solvent may be necessary.

The batch sheet is filled out using blanks after every sample and standard. In the case of a multiple, a blank must be inserted after every fifth sample vial. (If the square root sampling of a case is not an even multiple of five, blanks can be inserted more or less to evenly divide the case). There are times when double blanking may be useful. For example, carry-over may be more likely to occur at the beginning of a sequence or when a sample is known to be very concentrated. A typical sequence may look as follows.

Line	Type	Vial	Data File	Method	Sample Name
1	Sample	1	100101	DRUGS	BLANK
2	Sample	2	100102	DRUGS	BLANK
3	Sample	3	100103	DRUGS	STANDARD
4	Sample	4	100104	DRUGS	BLANK
5	Sample	5	100105	DRUGS	SAMPLE 1
6	Sample	6	100106	DRUGS	BLANK
7	Sample	7	100107	DRUGS	SAMPLE 2

8	Sample	8	100108	DRUGS	BLANK
9	Sample	9	100109	DRUGS	SAMPLE 3-1
10	Sample	10	100110	DRUGS	SAMPLE 3-2
11	Sample	11	100111	DRUGS	SAMPLE 3-3
12	Sample	12	100112	DRUGS	BLANK
13	Sample	13	100113	DRUGS	SAMPLE 3-4
14	Sample	14	100114	DRUGS	SAMPLE 3-5
15	Sample	15	100115	DRUGS	SAMPLE 3-6
16	Sample	16	100116	DRUGS	BLANK
17	Sample	17	100117	DRUGS	SAMPLE 4
18	Sample	18	100118	DRUGS	BLANK
19	Sample	19	100119	DRUGS	SAMPLE 5
20	Sample	20	100120	DRUGS	BLANK
21	Sample	21	100121	DRUGS	STANDARD
22	Sample	22	100122	DRUGS	BLANK

### Miscellaneous Instructions

Care should be taken not to divide the same defendant's samples among different operators. This will reduce the loss of personnel to the laboratory in the event of a subpoena.

Significantly older samples only take priority at the end of the month. Operators should check that the laboratory numbers on the GC/MS control sheet match the numbers on the vials and card. Lastly, check the GC/MS control sheet for special instructions that advise the operator to use a specific method. Standards, samples and blanks should be analyzed using the same method. The only exception is for very weak samples, in which case a modified method incorporating a lower split ratio or higher electron multiplier voltage is used with all other parameters remaining constant.

After the sequence for the batch sheet is determined, operators need to note the setup date, the setup analyst, the data file range of numbers to be used (numerically incremented with each sequence), and the sequence name for the run. The sequence name is the day of the run preceded by the instrument's assigned letter (i.e. E102402.s for system 5). Data files are organized using the date with underscores (i.e. 10\_24\_02). The sequence file name and the organizing data file name must share the same date.

The sequence is then typed into the instrument under TOP and saved. On the 5973, hit View under Instrument Control and select Top. In Top (5973 and 5971) select Sequence and load. Load the Default.m sequence and make the necessary modifications that describe the order of injection, what the data corresponds to (its laboratory number), where the data should be stored and the method for acquisition/integration. Once the sequence has been typed in, select OK to exit and return back to TOP. Then select SEQUENCE and SAVE to save the changes made to default.m. It's very important not to save the new sequence as default since default is a starting template for all future sequences. Input the correct sequence name and hit OK. Sequence files are saved either with a C, D, or E prefix, followed by the date and dot S (i.e. C030102.S, D092502.S, and E101902.S). The instrument automatically inserts the dot S.



Sequences are saved in the directory under `hpchem/1/sequences/`. Then select SEQUENCE under TOP and LOAD AND RUN SEQUENCE. Highlight Full Method, choose overwrite on/off (This will allow the operator to restart the instrument if a file is created. A file is created if the sequence downloads parameters for that sample, even if the no data acquisition occurred.), type in the operator's initials, and input in the correct Data File Directory Name. Data files for that sequence must be organized as a whole using the date in the following format: 03\_01\_01. For the 5973 MSD the complete data file directory extension should look something like `D:\system4 (system5)\03_01_01\185236.d`. For the 5971 MSD, the extension is `C:\hpchem\1\data\03_01_01\185236.d`. (Sequence files end in dot S, data files in dot D, method in dot M, and tune files in dot U). Hit OK and under TOP select SEQUENCE and SAVE to re-save the sequence. Print sequence by selecting SEQUENCE, PRINT SEQUENCE, and BRIEF FORMAT for the 5973. For the 5971, select SEQUENCE and PRINT BRIEF FORMAT. Double-check all data entry work. Make sure the vials in the tray are in the correct position and correctly labeled. The sequence can be started under TOP by selecting SEQUENCE and RUN.

After the sequence is started, it is the operator's responsibility to make sure the first blank and standard come out satisfactorily. A multitude of malfunctions could occur at the beginning of a sequence and the operator should check the instrument repeatedly throughout the day if possible. If the system malfunctions at the beginning of a sequence, resume the instrument if possible. Otherwise, notify the MS Supervisor. If the problem is not addressed until the next day, re-tune the MSD. Make appropriate changes to the sequence file name and the data file path. If the system malfunctions at the end of the sequence, restart the instrument to finish the sequence. If the instrument is inoperable, samples can be analyzed up to the last completed standard.

### ANALYSIS OF RESULTS

Operators are expected to analyze data results by comparing an unknown with known authentic standards present in every run. A positive identification is made when the unknown and standard have consistent retention times (with + 2.5 %) and mass spectral (acquired in full spectrum scan mode) fragmentation patterns. For unknown samples a minimum of two tests are required for a positive confirmation.

The GC/MS laboratory custom report macro employs a PBM (Probability Based Matching) search algorithm developed at Cornell University by Professor Fred McLafferty. Match quality, as seen on every report, is only used as an interpretative guide to the unknown's identity and is not the determining factor for a positive identification.

**Confirmations are always made by the analyst not the instrument.** Far too many factors affect match quality and no search strategy or routine can compensate for these variables. User created libraries greatly improve match quality but ultimately all confirmations are based on comparisons with known standards.

As mentioned earlier, carryover of the controlled compound of interest is not acceptable before an unknown. Carryover after a multiple and before a standard is not allowed since carryover in this position indicates it was possible to have carryover during the multiple.

Occasionally an unknown may have a peak of interest that does not integrate. If the abundance level of the TIC is below 100000, no report will be printed for this peak. It is the responsibility of the operator to handle this situation and not ignore the peak. One approach to this problem involves using data analysis to manually analyze and print the results. The report format will be slightly different but is perfectly legitimate. (Operators should not manually change the integration threshold for that method without supervision.) If manual integration does not give a satisfactory spectrum, the sample will need to be re-analyzed. The operator has the option of re-analyzing the sample on a more sensitive method or, if necessary, it can be returned to the primary chemist for concentration and then re-analyzed on the same or more sensitive method.

In the event GC/MS results are out of character with preliminary results, consult the primary chemist. A second analysis may be necessary to rule out initial inconsistencies that may exist.

Data analysis will integrate peaks of the total ion chromatogram using an apex minus start of peak subtraction technique. This is particularly useful for weak samples to remove background ions. However, some samples may need manual integration if chromatographic fronting exists since baseline subtraction could remove ions of interest. Manual integration may also be necessary for poorly resolved peaks that share common ions.

### REPORTING RESULTS

Reporting results consists of filling out the GC/MS control sheet and the sample card assigned to every case. On the top of the control sheet, next to date analyzed, the operator needs to place the date the run was analyzed (the day the chemist sits down and reviews the results) and the sequence file name for retrieval purposes. If a sample needs to be returned for crystal tests or quantitation, the date analyzed for the control sheet remains the GC/MS analysis date. (The submitting analyst will write on the front of the card the analysis date/results the day he/she finally completes the analysis of the crystal tests or quantitation.) Fill out the remainder of the sheet by noting the retention time of the standard (under MS comments), the operator initials (under MS BY), the retention time of the unknown and the match quality (under RT/MQ), and lastly the findings under results.

Under the comment section of the GC/MS control sheet, analysts may note any other controlled substance of a lower class. These findings do not get reported without a standard but making note of them can be helpful. If more than one controlled substance of an equal class is present, the stronger or more prominent peak is usually identified. Occasionally more than one controlled substance is reported if it is thought to be a concern, in which case the appropriate standards are used (i.e. mixtures of ketamine, MDMA, PCP and methamphetamine).

The front of the sample card is filled out by noting the date analyzed (upper right hand corner), the number of tests performed by the GC/MS lab (gas chromatography counts as one test and mass spectrometry as another) and the finding. On the back of the card the operator notes if the GC/MS was positive/negative and the sequence file name. One must also write in the results and the analysis date here if the finding/analysis date is not reported

on the front. For example, the card needs to be returned for crystal tests or THC quantitation.

### **FILING PAPERWORK, DATA BACKUP AND DATA RETRIEVAL**

Completed cards are returned to the evidence office for certificate generation. Two copies of digital data should exist at all times, one on the acquiring instrument and one on the stand-alone Dell. Data backup should be performed as soon as possible. Hitting the data backup icon on the 5973 instruments and the compact disc icon on the 5971 performs data backup of the completed sequence. Before initiating data backup, the operator should be certain transcriptional errors do not exist. Proofreading, double-checking, etc should be performed before the sequence is initiated and at the very least when the run is completed. Correcting transcriptional errors after data is acquired is quite involved and should not be performed by operators. Address the issue with the MS Supervisor or simply make personal notations on all applicable paperwork. At the end of every month, the GC/MS Laboratory will store all analytical results on recordable compact discs (CD-R). Two CD-R copies are created: a backup copy and an archive copy. Duplication is necessary throughout the process for unforeseen problems.

A hardcopy of all analytical results is also saved. One copy of the tune report stays in the GC/MS Laboratory in a tune report binder located next to every instrument. A second copy of the tune report stays with the instrument hardcopy. The analyzing chemist, for court discovery motions, can keep a third copy. One copy of the sequence batch sheet should stay in the GC/MS Laboratory and the analyzing chemist should keep a second copy. Three copies of the GC/MS control sheet need to be saved: one for the analyzing chemist, one for the GC/MS Laboratory and one for the submitting chemist.

Data can be retrieved from the hardcopies or from the backup/archive compact discs. Electronic retrieval is only possible from the 5973 instrument (systems 4,5,6) under Data Analysis. Go to File, Load Data File, select the appropriate drive for reading compact discs (E:\), select the correct system, select the correct Data File Directory Name and the correct data file. Once the data file is loaded, print by going to Macro and Library Search Macro. For discovery motions supply all bracketing standards, the sample and blanks. Blanks should include those preceding the unknown and the bracketing standards.

### **LABORATORY EXPECTATION OF ANALYSTS**

The above training instructions may not handle every possible working situation. Any doubts or questions should be taken to a team leader or supervisor. Doing so is in everyone's best interest. Operators should understand it is a requirement of the job and an expectation of the laboratory.

**INSTRUMENTATION-MODELS AND SERIAL NUMBERS**

SYSTEM	GC MODEL/SERIAL#	MSD MODEL/SERIAL#
3	5890A/3310A48324	5971A/3306A04519
4	6890(G1530A)/US00025670	5973(G1098A)/US82311442
5	6890(G1530A)/US00026238	5973(1098A)/US82311436
6	6890N(G1530N)/CN10244001	5973NETWORK(G2577A)/US21843303

SYSTEM	TOWER/SERIAL#	TRAY/SERIAL#
3	18593B/3534A43820	18596B/3506A33978
4	G2613A/US90204388	G2614A/US85203036
5	G2613A/US90204391	G2614A/US90203072
6	G2613A/CN30429193	G2614A/CN30423007

SYSTEM	PRINTER MODEL/SERIAL #
3	HP LASERJET 4/JPBH024544
4	HP LASERJET 4000/USMC071174
5	HP LASERJET 4000/USMC023436
6	HP LASERJET 4000/USMC071005

**INSTRUMENT PARAMETERS-ACQUISITION AND INTEGRATION****Method: Drugs.m****INLET**

Mode: split

Split ratio: 50:1 to 85:1, instrument dependent

Gas type: Helium

Temperature: 250° C

**Injector**

Injection Volume: 1uL

Sample Washes: 3

Sample Pumps: 3

Post Injection Solvent A Washes: 2

Post Injection Solvent B Washes: 2

**OVEN**

Column: HP-5MS 30 m X 0.25 mm X 0.25 um

5% Phenyl Methyl siloxane

Maximum Temperature: 325° C

Constant Flow: 1 mL/min

**Temperature Program**

Initial Temperature: 170° C

Initial Time: 0.00 min

Ramp Rate: 25° C/min

Final Temp: 290° C

Final Time: 3.60 min

Run Time: 8.40 min

Equilibration Time: 0.50 min

**DETECTOR**

Transfer Line: 300° C

Acquisition: Scan Mode

EM Offset: -100 V

Solvent Delay: 1.50 min

Low Mass: 40

High Mass: 500

Threshold: 50

Sample #: 2

A/D Samples: 4

Source Temperature: 230° C

Quadrupole Temperature: 150° C

## INTEGRATION

RTE Integrator

Apex-start of Peak

Minimum peak area: 100,000

Search Strategy:

U+A 2

Flag Threshold 3

Tilting On

Minimum Purity 50

## TERMS AND DEFINITIONS

Atomic number: The number of protons in an atom of an element.

Average mass: Calculated mass of an ion based on the atomic weight of the elements.

Mass number: The sum of the total number of protons and neutrons in an atom, molecule, ion or radical. It is the nucleon number with the symbol *m*. This number is an integer and can be used interchangeably with *m/z* values in unit resolution mass spectra where the charge number of the ion is one.

Monoisotopic mass: The exact mass of the most abundant naturally occurring stable isotope of an element. The calculated exact mass is the mass determined by summing the mass of the individual isotopes that compose a single ion, radical or molecule based on a single mass unit being equal to 1/12 the mass of the most abundant naturally occurring stable isotope of carbon. If the mass is calculated with the exact mass value of the most abundant naturally occurring stable isotope of each element in the ion, radical, or molecule, then the calculated exact mass is the same as the monoisotopic mass.

Nominal Mass: The integer mass of the most abundant naturally occurring stable isotope of an element.

TIC: Total ion current. The total ion chromatogram should be called the reconstructed total-ion-current chromatogram.

Common contaminants		
Ions ( <i>m/z</i> )	Compound	Possible source
18, 28, 32, 44 or 14, 16	H <sub>2</sub> O, N <sub>2</sub> , O <sub>2</sub> , CO <sub>2</sub> or N, O	Residual air and water, air leaks, outgassing from Vespel ferrules
31, 51, 69, 100, 119, 131, 169, 181, 214, 219, 264, 376, 414, 426, 464, 502, 576, 614	PFTBA and related ions	PFTBA (tuning compound)
31	Methanol	Cleaning solvent
43, 58	Acetone	Cleaning solvent
78	Benzene	Cleaning solvent
91, 92	Toluene or xylene	Cleaning solvent
105, 106	Xylene	Cleaning solvent
151, 153	Trichloroethane	Cleaning solvent
69	Foreline pump oil or PFTBA	Foreline pump oil vapor or calibration valve leak
73, 147, 207, 221, 281, 295, 355, 429	Dimethylpolysiloxane	Septum bleed or methyl silicone column bleed
77, 94, 115, 141, 168, 170, 262, 354, 446	Diffusion pump fluid and related ions	Diffusion pump fluid
149	Plasticizer (phthalates)	Vacuum seals (O-rings) damaged by high temperatures, vinyl gloves
Peaks spaced 14 amu apart	Hydrocarbons	Fingerprints, foreline pump oil

FIGURE 4

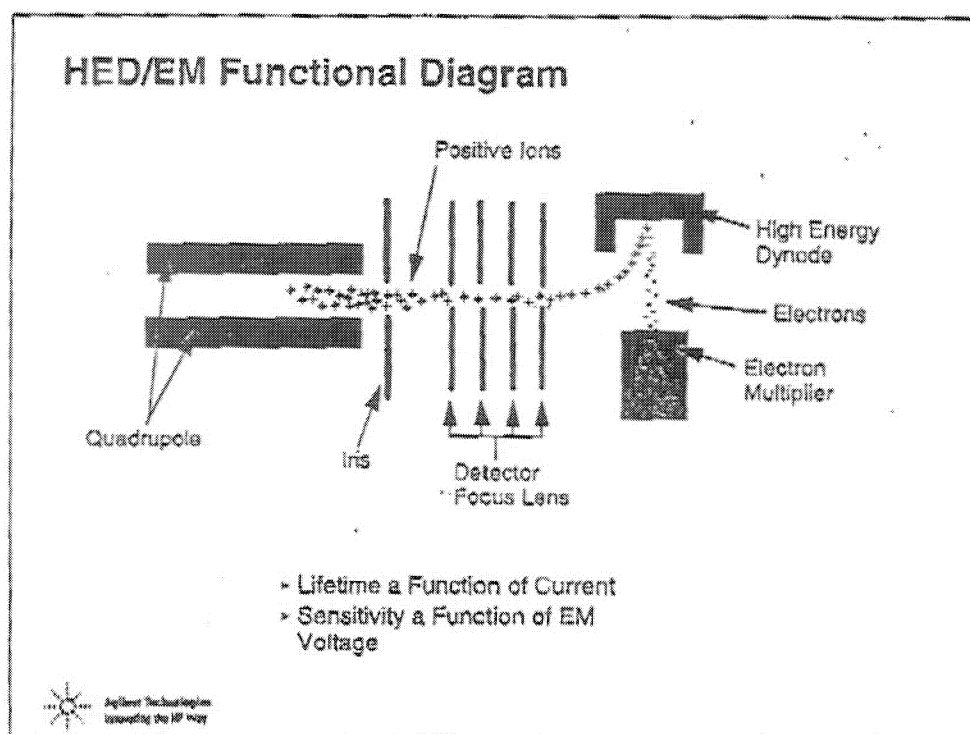


FIGURE 3



## Mathieu Stability Diagram

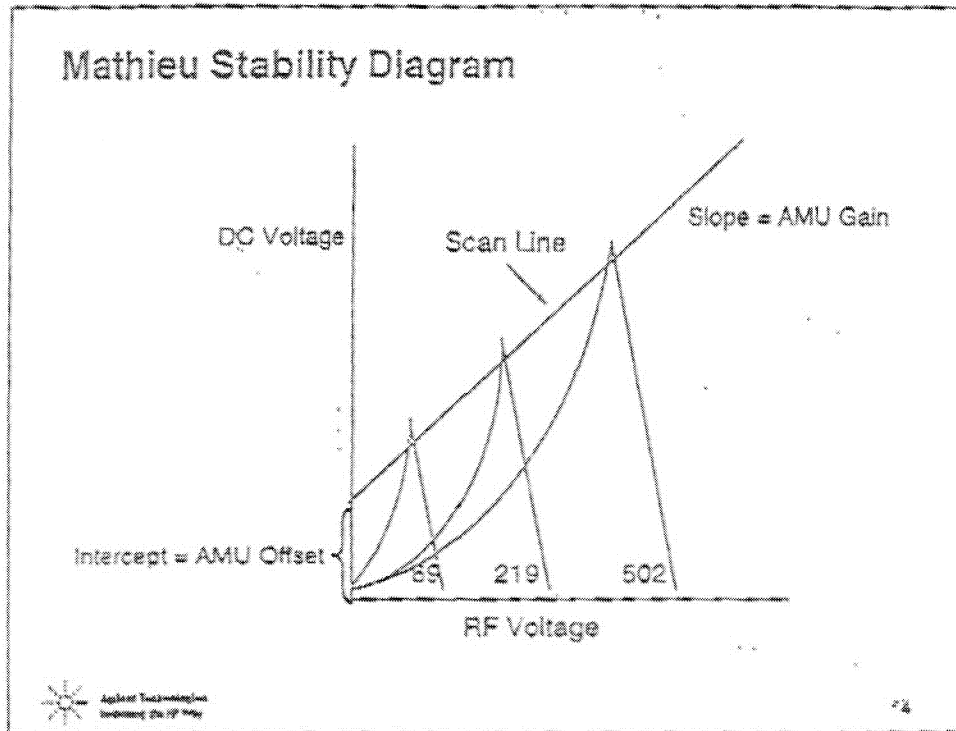


Figure 2

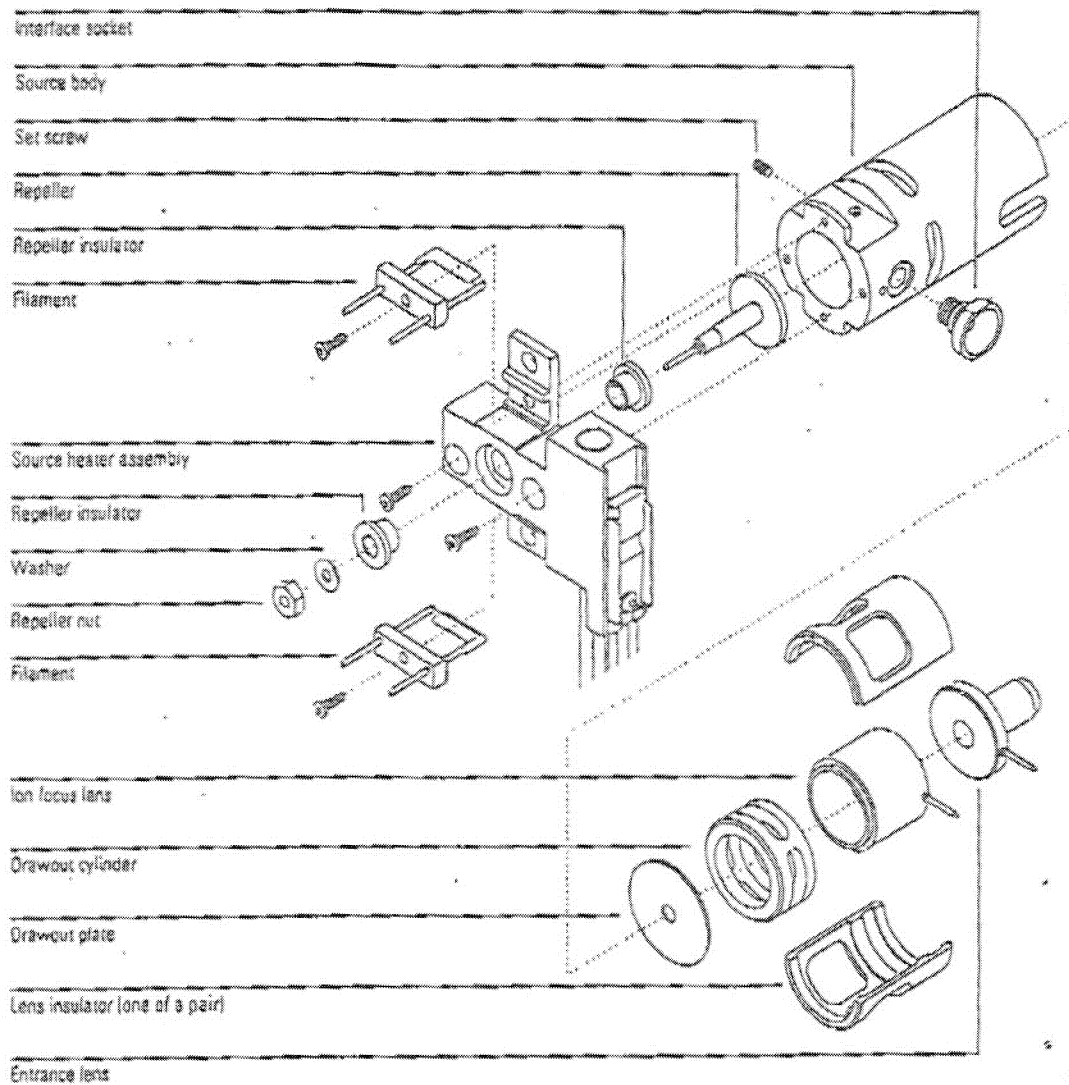


Figure 1

# **GOLDBACH ATTACHMENT E**

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 1 of 20  
Effective Date:

## **Boston Drug Laboratory GC/MS Protocol**

1. Introduction
2. Objective
3. Scope
4. Responsibility
5. Related Documents
6. Definitions
7. Supplies, Equipment, Reagents
8. Safety
9. Sample Submission Requirements
10. Daily Equipment Maintenance and Calibration/Instrument Quality Control
11. Batch Set-up Procedures and Method Quality Control
12. Analytical Interpretation
13. Limitations of GC/MS
14. Test Reporting
15. Data Storage and Retrieval
16. Record Retention
17. Compliance Monitoring
18. References
19. Attachments

7/17/2007

1

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 2 of 20  
Effective Date:

## 1. Introduction

This document is a Standard Operating Procedure (SOP) for the Drug Analysis Gas Chromatography-Mass Spectrometry (GC-MS) Laboratory. The principles introduced in this SOP will apply to all forensic items confirmed via GC/MS, both routine and specialty drug submissions.

GC-MS is the primary instrument used to structurally identify controlled substances submitted to the laboratory. GC/MS is a separation and identification technique used to analyze volatile compounds. Components of a mixture are volatilized in a heated injector and subsequently separated in a capillary column coated with a thin film of liquid. A vaporized sample will dissolve in the stationary liquid phase and then re-vaporize in the mobile gas stream as it travels through the column. Dissimilar distribution coefficients in the two phases are the driving force for GC separation. Retention is mainly influenced by a compounds boiling point or vapor pressure, oven temperature, carrier gas flow rate, polarity of the column, column film thickness, column diameter and length. Components elute into an electron impact-mass selective detector (EI-MSD). The mass spectrometer performs three basic functions: ionization in the source body, mass separation in the quadrupole and ion detection by an electron multiplier. All three functions are performed under vacuum conditions as components elute from the column. Low operating pressures are necessary for an adequate mean free path-an ion's average distance traveled between collisions. Ions must be able to travel from their point of origin to the detector without colliding with air, non-ionized molecules or the instrument. Collisions mean an ion may not be detected at all (scattered or neutralized) or incorrectly identified because of intermolecular reactions.

**Ionization-** A heated filament on the ion source bombards eluting compounds with electrons. Ionization removes an valence shell electron from the analyte molecule, creating a positively charged ionic species known as the parent compound or molecular ion ( $M^+$ ). As the electron passes close to the molecule, the negative charge of the electron repels and distorts the electron cloud surrounding the molecule. This distortion transfers kinetic energy from the moving electron to the electron cloud of the molecule. If enough energy is transferred, a valence electron will be ejected to form a cation radical. These ions exist in an excited energy state and fragment into other cations, neutral species and radicals-species with no charge but with an unpaired electron.

**Mass Separation-** Separation occurs in a quadrupole mass filter consisting of four poles, or rods. In cross-section of a quadrupole, the four poles are arranged at the corners of a square. Diametrically charged rods work in tandem as a set. One set has a positive DC voltage applied to it. The other set has a negative DC voltage of the same value. In addition, all four rods have a superimposed RF voltage of alternating polarity, with the RF voltage 180 degrees out of phase for each rod. The  $m/z$  value transmitted through the quadrupole is determined by the electric field produced by the DC and RF voltages. Only if the ion has a particular  $m/z$  will its

7/17/2007

2

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 3 of 20  
Effective Date:

oscillation be stable in the mass filter and only this  $m/z$  will exit the end of the mass filter to be detected by the electron multiplier. The mass spectrum is scanned by varying the amplitude of the DC potential (U) and radio frequency potential (V), while keeping the RF frequency and U/V ratio constant. Tuning the MSD optimizes the U/V ratio and the calculated result is saved in the tune report file. The concepts of amu gain and offset are represented in Attachment 1, otherwise known as the Mathieu Stability Diagram. It is a plot of DC voltage versus RF voltage and defines an ions stable trajectory in the quadrupole. The slope (U/V) mathematically represents amu gain and amu offset is the DC intercept on the y-axis. Increasing/decreasing the amu offset will have an equal effect on sensitivity across the entire mass range. Increasing/decreasing the amu gain will have an effect on low mass but a much greater effect on high mass. The determined values for amu gain/offset effect abundance and resolution by determining the cut-off for peak width

**Detection-** In the 5973/5975, positively charged ions exiting the quadrupole are focused through a detector-focusing lens (See Attachment 2). Ions are subsequently deflected into the electron multiplier, located off-axis to the analyzer, by a High Energy Dynode (HED). The HED functions to accelerate ions into the multiplier and reduce the number of stray particles entering the detector. The HED (at -10,000 volts) attracts positively charged ions exiting the quadrupole, generating electrons that are attracted to the more positive electron multiplier (-3000 volts). The electrons hitting the surface of the electron multiplier liberate more electrons with every impact as they cascade down the horn. Every ionic particle that leaves the mass analyzer and enters the ion detector contains a given amount of electricity (10<sup>-19</sup> coulomb per singly charged particle). As the number of ions arriving at the detector per unit time increases the amplified output of the detector increases proportionally. The electron multiplier amplifies the signal on the order of 10E5. At the end of the horn, the current generated by the electrons is carried out to a signal conditioning circuit.

The GC-MS chromatogram displays the total ion current (TIC) over time. Each peak in the TIC is the summation of all the ions specific to that molecule's fragmentation pattern. An identical fragmentation pattern can be reproduced from one instrument to another using similar experimental condition.

## 2. Objective

The objective of this SOP is to ensure operators handle submissions in a routine and predictable manner. The analytical data from the Drug Analysis GC/MS Laboratory can be used in criminal prosecutions. All samples will be analyzed in a manner consistent with forensic standards. Many elements of this protocol are designed to eliminate any appearance of doubt that could arise from the Laboratories analytical results.

7/17/2007

3

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 4 of 20  
Effective Date:

### 3. Scope

All GC/MS operators will need to comply with the procedures set forth in this SOP. The GC/MS Laboratory will use standard forms and consistent guidelines to confirm all submissions. The following topics will be covered in this SOP: sample submission requirements and procedures, equipment maintenance and calibration, batch setup procedures, instrument and method QC, acceptance criteria for data analysis, reporting results, data backup, data retrieval and retention.

### 4. Responsibilities

- Chemist I, II, III and Supervisors are responsible for performing this SOP.
- The Chief of Laboratory will ensure compliance with this SOP.
- Senior Chemists/Laboratory Supervisor will monitor compliance with this SOP.
- The GC/MS Supervisor will oversee training of staff for GC/MS procedures.

### 5. Related Documents

Training Guidelines for New Chemists  
Commonwealth of Massachusetts  
Department of Public Health  
Drug Analysis Laboratory  
Jamaica Plain, Ma 02130

### 6. Definitions

**Abundance-** Describes the number of ions in the mass spectrometer.

**Mass spectrometer-** Instruments that bring a focused beam of ions to a fixed collector, where the ion current is detected electrically. These instruments measure the abundance of ions based on their  $m/z$  values.

**TIC-** Total Ion Current, synonymous with total ion abundance.

**Molecular Ion-** The removal of one valence shell electron from a compound to form a radical cation, also known as the parent ion.

**Base Peak-** The most intense peak in a displayed mass spectrum. Other peaks are normalized relative to the base peak.

7/17/2007

4

Massachusetts Department of Public Health  
 State Laboratory Institute  
 305 South Street, Jamaica Plain, MA 02130  
 Author: Peter Piro

SOP DR.001  
 Version: 1  
 Page: Page 5 of 20  
 Effective Date:

**Standard Spectra Tune-** Tuning optimizes the performance of the MSD by maximizing sensitivity while maintaining acceptable resolution and accurate mass assignment. Standard spectra tune is a tuning algorithm that ensures a standard response over the full mass range. The tuning compound PFTBA (Perfluorotributylamine) produces a characteristic spectrum that has mass 69 as the base peak and sets the relative abundances of mass 219 between 30 and 99 % and mass 502 greater than 1%. Standard Spectra Tune optimizes ion source components only to maximize the abundance of mass 502. Standard Spectra Autotune (5971) is also referred to as a Standard Spectra Target Tune on the 5973/5975 since the relative target abundances of mass 50, 131, 219, 414, and 502 are set at 1, 55, 45, 3.5 and 2.5. That is, the 5973/5975 MSD performs a target tune using standard spectra targets. Historically these targets have been used to duplicate spectral results from magnetic-sector instruments when most commercial libraries were created.

**Carryover-** A retained analyte in a GC's injection/ALS system that is detected in a blank. Carryover may originate from the syringe, the injector's liner, the gold seal, the head of the column, or a contaminated blank. Carryover will have the same retention time for that analyte if it were normally injected. The TIC will have the ions for that analyte with varying degrees of intensity due to concentration. QC blanks may have other peaks due to late eluters, analytes that originated in the previous injection but did not elute before the end of the method's run time. Ghost peaks are a form of carryover that have uncharacteristic retention times for an analyte. Ghost peaks typically originate in a contaminated carrier line or split line and their retention times can not be predicted.

## 7. Equipment, Supplies and Reagents

### Instruments

SYSTEM	GC MODEL/SERIAL#	MSD MODEL/SERIAL#
3	5890A/3310A48324	5971A/3306A04519
4	6890(G1530A)/US00025670	5973(G1098A)/US82311442
5	6890(G1530A)/US00026238	5973(1098A)/US82311436
6	6890N(G1530N)/CN10244001	5973NETWORK(G2577A)/US21843303
7	6890N(G1530N)/CN10628091	5975INERT/US61623624

SYSTEM	TOWER/SERIAL#	TRAY/SERIAL#
--------	---------------	--------------

7/17/2007

5



Massachusetts Department of Public Health  
 State Laboratory Institute  
 305 South Street, Jamaica Plain, MA 02130  
 Author: Peter Piro

SOP DR.001  
 Version: 1  
 Page: Page 6 of 20  
 Effective Date:

3	18593B/3534A43820	18596B/3506A33978
4	G2613A/US90204388	G2614A/US85203036
5	G2613A/US90204391	G2614A/US90203072
6	G2613A/CN30429193	G2614A/CN30423007
7	G2913A/CN62433761	G2614A/CN62640171

SYSTEM	PRINTER MODEL/SERIAL #
3	HP LASERJET 4/JPBH024544
4	HP LASERJET 4000/USMC071174
5	HP LASERJET 4000/USMC023436
6	HP LASERJET 4000/USMC071005
7	HP LASERJET 2420D/CNGJD23741

SYSTEM	COMPUTER MODEL/SERIAL NUMBER
4	Kayak XA 6/US83853841
5	Kayak XA 6/US83853197
6	HP Vectra VL420dt/us22109330
7	HP Compaq DC 7600/MXL6240TYF 1 <sup>st</sup> computer 9/08/2006 /2UA6500K75 2 <sup>nd</sup> computer 5/01/2006

### Related Equipment

Agilent/HP Helium Multi-Stage Regulator 5183-4644  
 Supelco High Capacity Carrier Gas Purifier (oxygen and water) 2-3800-U  
 Powerware Prestige 3000 UPS  
 RadioShack OHM Meter

7/17/2007

6

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 7 of 20  
Effective Date:

Commercial and Agilent Toolbox  
Dell OptiPlex GX1 Computer networked to Instrumentation  
Inlet Septum Remover  
Gasmet Gas Flow Meter for 5971  
Sanyo Air Conditioning Unit-Room temperature maintained at 70 degrees Fahrenheit

### Consumable Supplies

Supelco OMI-2 Indicating Purifier and tube holder, 23906 and 23921  
Sony 80 MB CD-R  
Helium-Ultra High Purity  
Supelco Split/Spitless Glass Liners, 4mm ID with deactivated glass wool, 2-048625  
Therm-O-Ring ½" Seals, liner o-ring, 21004-4-U  
Supelco Gold plated Inlet Seals with nickel washer for Agilent, 23319-U  
Supelco Thermogreen LB-2 Septa, 10mm, 23156  
Supelco Injector Column Nut, 24833-4  
Supelco MSD Column Nut, 28034-U  
Agilent Ferrule, 0.5 mm ID Graphite (short), 5080-8853  
Agilent GC/MS Ferrule, 0.4mm ID hole, graphite/vespel, 5062-3508  
HP-5MS Capillary Column, 0.25um (film) X 0.25mm (ID) X 30m (length)  
Agilent 10 uL syringe (straight and tapered needle), 9301-0725 and 5181-3360  
Inland 45 Vacuum pump fluid  
Micogrit, Type WCA, size 15  
Fisherbrand Cotton Tipped Applicators, 6"  
Kimble 11 mm vial caps, PTFE/Rubber  
11 mm vial crimper  
Kimble glass vials  
Residue vials  
9" Pasteur Capillary Pipets  
See Attachment 2 for a complete list of Standards  
Sony CD-R, 700 MB with jewel case  
Office Duster

### Reagents

Methanol- J.T. Baker, 9070-05, A.C.S. Reagent Grade, 4L  
Chloroform- J.T. Baker, 9180-05, A.C.S. Reagent Grade, 4L  
Acetone- Fisher, A9284, GC Resolv, 4L

7/17/2007

7

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 8 of 20  
Effective Date:

## 8. Safety

- Chemists will wear personal protective equipment (PPE) when in the laboratory.
- Care should be taken when changing the injector septum. The septum nut is very hot and can cause burns. The GC/MS instrument has many heated zones: the injector, oven, transfer line, source and quadrupole. Routine maintenance requires that these heated zones be cooled prior to handling.
- Always transport helium cylinders secured to a cart. During transport, cylinders must always be capped to protect the shutoff regulator and ensure personal safety.
- Protective eyewear is required when performing maintenance on capillary columns.
- When replacing rough pump fluid, wear appropriate personal protective equipment (PPE): a lab coat, gloves and safety glasses. Used rough pump oil is considered hazardous waste. It will be safely stored until disposed of by the UMASS Environmental Health and Safety Department.
- Use fume hoods when working with solvents.

## 9. Sample Submission Requirements

An aliquot of a sample is placed in a vial, either standard or residue sized, dissolved in a solvent, and submitted by the primary chemist to the GC/MS laboratory. All submitted vials will be listed on a Drug Laboratory GC/MS Control Sheet (Attachment #3) along with their respective cards. The GC/MS staff will note on the control sheet the day a sample is received along with their initials. All numbered vials are matched against the control sheet and cards prior to acknowledging receipt. If any errors are noted, the entire submission will be returned to the submitting chemist for correction. Samples are also checked for GC/MS suitability. Samples with an excessive amount of particulate matter will be returned. Vials should typically be at least half full and caps should be firmly crimped to avoid evaporation.

Samples are then separated into their suspected drug type using separate vial racks: cocaine, heroin, pharmaceuticals, specialties (i.e. LSD, MDMA, THC, Psilocybin) and unknowns. Analysts submitting pharmaceutical samples should make an effort to cluster as many similar samples as possible on one GC/MS control sheet. First hand knowledge about a samples concentration or cleanliness should be noted on the control sheet by the primary chemist. The GC/MS operator will then choose the appropriate method/QC precautions (blanks) for the item being analyzed.

## 10. Equipment Maintenance and Calibration/Instrument Quality Control

- The Auto-Liquid Sampler (ALS) rinse bottles must be emptied, washed out and refilled with the appropriate solvent. Waste bottles should be emptied and washed out.

7/17/2007

8

Massachusetts Department of Public Health  
 State Laboratory Institute  
 305 South Street, Jamaica Plain, MA 02130  
 Author: Peter Piro

SOP DR.001  
 Version: 1  
 Page: Page 9 of 20  
 Effective Date:

- The injector septum must be replaced on every new run or after approximately 100 injections. Printer paper should be refilled before every new run.
- Injector cleaning and source cleaning procedures can be found on CD. See HP 5973 MSD Disk Reference Collection 1-3 for details.
- On the day a sequence is initiated, perform a PFTBA (perfluorotributylamine) spectrum scan. Check for air leaks. If no air leak is present, perform a Standard Spectra Tune. Tune the instrument on the method that will be used during the sequence. For sequences using multiple methods, load the method with the lowest starting oven temperature and tune on that method.

Make sure the following parameters are within specified tolerance levels or set properly: mass assignment, unit mass resolution, peak widths, mass 69 abundance, the relative abundance of 219 and 502, isotope ratios, foreline pressure, source and quadrupole temperatures, electron energy, number of peaks in spectrum scan, air leaks, and relative target abundances of 50, 69, 131, 219, 414, and 502. Readings outside the established range should be reported to the MS Supervisor. Note day-to-day trends in the electron multiplier voltage and lens voltages. Report any significant increase/decrease to the MS Supervisor. On the 5973 save tune files to Stune.u and Atune.u on the 5971.

#### 5973/5971 Relative Ratios for Prominent Masses

	5973/5975	5971
m/z 69	base peak (100%)	base peak (100%)
70/69	> 0.5 but < 1.6 %	0.54- 1.6 %
219/69	> 40% but < 85 %	> 30 %
220/219	> 3.2 but < 5.4 %	3.2- 5.4 %
502/69	> 2.0 % but < 5.0 %	> 1 %
503/502	> 7.9 but < 12.3 %	7.9- 12.3 %
Source temperature: 230 C	---	Determined by the transfer line temperature setting and convection efficiency.
Quadrupole temperature: 150 C	---	Automatically set

- Foreline Pressure: 40-60 mTorr typical. Dependent on the condition of the rough pump. The foreline pressure is adequate under 100 mTorr. The critical foreline pressure is 400 mTorr, above which the diffusion pump and the heated zones turn off. At 300 mTorr, the diffusion pump will turn on during pump down. The MSD manifold vacuum pressure (high vacuum pressure) should be  $5 \times 10^{-5}$  torr or lower.
- Electron Energy: 70 eV (69.9 eV)
- Mass 69 abundance: > 200,00 but < 400,000
- Mass peak width (PW50) should be  $0.55 \pm 0.1$  (default) for the 5973/5975 and  $0.50 \pm 0.1$  for the 5971 MSD.

7/17/2007

9

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 10 of 20  
Effective Date:

- Mass assignment is determined on the top portion of the tune. The Drug Laboratory allows masses to vary by  $\pm 0.1$  amu on each tuning mass and isotope mass. Agilent allows  $\pm 0.2$  m/z for 69, 219, and 502 on the top and  $\pm 0.1$  m/z on the bottom.
- Note isotope ratio tolerances above. Isotope ratios for 70/69, 220/219 and 503/502 should be close to the theoretical values of 1.08, 4.32, and 10.09. The 69 fragment ions have one carbon atom, the 219's have four and the 502's have nine. The natural abundance of C13 is 1.1%, which explains the observed isotope abundance (1, 4, and 10%) one mass unit away (due to the extra neutron of C13 and N15). Proper isotope ratios can be used to indirectly assess unit mass resolution as can the visual appearance of the profile scan.
- Agilent guarantees that their quadrupole mass analyzer will achieve unit mass resolution throughout the mass range. Unit mass resolution is achieved because peak widths are kept fairly constant throughout the mass range. Using the manufacturer's defined range for peak width (Full Width at Half Maximum-FWHM) ensures unit resolution. Unit resolution means two adjacent peaks in a mass spectrum are resolved sufficiently so that the peak height of either peak is not appreciably affected by overlap. In the profile scan of the tune (the top portion showing an extracted ion chromatogram) check that adjacent isotopes are resolved. Historically, the height of the valley between isotope peaks is around 5% or less relative to the larger peak (25% or less relative to the smaller isotope peak). On the bottom part of the tune that shows a full spectrum scan, isotopic masses should also be one mass unit apart  $\pm 0.2$  u (unified atomic mass units). If unit mass resolution is not achieved, retune or notify the supervisor for corrective measures.
- Air leaks above 5% should be reported. Office Duster can be used to determine the source of the leak by acquiring spectrum scans under Diagnostics/Vacuum Control. On the 5971 MSD, an air and water check will give relative abundance for water (mass 18), nitrogen (mass 28), oxygen (mass 32), and carbon dioxide (mass 44). The 5973 MSD will give the relative abundance of water and nitrogen. Oxygen and carbon dioxide can be approximated from the graphical output. If an air leak is present, the ratio of m/z 28 to m/z 32 will be about 5:1.
- Electron multiplier voltage (EMV) should be less than 2500. 3000 is the upper maximum. Notify the supervisor if the EMV is above 2500.
- The relative target abundance (on the 5973 MSD) for mass 50, 131, 219, 414, and 502 are set at 1, 55, 45, 3.5, and 2.5. The 5971 MSD does not give operators access to these parameters.
- The full spectrum scan should contain < 200 peaks (typically 80-150). Report tunes with an uncharacteristically high number of peaks. See Attachment 4 for a list of contaminants and their possible source of origin.
- Operators on the 5973/5975 may perform a system verification tune if questions arise about the status of the MSD. This evaluation allows the analyst to check the MSD doing a maximum sensitivity tune (maximizes the abundance of tuning mass 69, 219 and 502) not a standard spectra tune. It will not verify if the last standard spectra tune passed all Drug Laboratory standards but it is a good starting point as a diagnostic tool.

7/17/2007

10

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 11 of 20  
Effective Date:

- Individuals who make use of the equipment are responsible for determining whether or not the instrument has been qualified for operation. Instrument quality control (MSD tune, injector/column QC) and method quality control (blanks and standards) are the determining factors for use.

#### GC/MS Standard Spectra Autotune (Target Tune) Checklist

Correct Mass assignment in profile scan and spectrum scan  
Peak widths  
EMVolts  
Source Temperature  
Quadrupole Temperature  
Foreline Pressure (5971, 5973) or High Vacuum Pressure (5975) and Turbo Speed  
Electron Energy  
Number of peaks in spectrum scan  
Unit mass resolution  
Isotope Ratio (Resolution of profile scan should corroborate isotope ratios)  
Mass 69 abundance  
Relative abundance of 219  
Relative abundance of 502  
Air leaks  
Target Abundance (1.0, 100.0, 55.0, 45.0, 3.5, 2.5)

### 11. Batch Setup-Procedures and Method Quality Control

Samples are always bracketed by standards. Bracketing standards are used after every tenth item when possible. Plus or minus a few vials is acceptable. This ensures the instrument is operating properly at the beginning, middle and end of the sequence with respect to retention time and spectrum. If the instrument malfunctions at the very end of a sequence, the majority of the samples can be analyzed up to the last satisfactory bracketing standard.

Operators must insure carry-over does not exist between items or between a standard and item. This is accomplished by running blanks (the solvent that the sample is dissolved in) between all vials, both standards and items. Fresh blanks should be made up with every new run to avoid septum leaching. Two full blanks typically will suffice for a full tray of samples. The first blank will be used for the first half of the run and the second blank will be used for the second half of the run. Standards should be recapped after one or two uses to prevent septum contamination. If a standard completely breaks down or if breakdown products account for more than 30% of the standard's area, the qualitative standards should be discarded.

7/17/2007

11



Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 12 of 20  
Effective Date:

Exceptions include standards known to be thermally unstable or a mixture of cis/trans isomers. Reactive solvents will only be used if no other solvent is suitable.

The Drug Laboratory Batch Sequence Sheet (Attachment 5) is filled out using blanks after every sample and standard. In the case of a multiple, a blank must be inserted after every fifth specimen vial. If a submission is not an even multiple of five, blanks can be inserted more or less to evenly divide the case. For example, a case with eight specimens can be divided up four and four. There are times when double blanking may be useful. For example, carry-over may be more likely to occur at the beginning of a sequence or when a sample is known to be very concentrated. Double blanking for pharmaceutical drugs is highly recommended, as are drugs that originate from natural products (i.e., psilocybin mushrooms).

A QC standard mix comprised of cocaine and codeine is placed at the beginning of every sequence. The acquisition method must always be DRUGS.M. It will be used to monitor the status of the column and the general cleanliness of the injector. The retention time ratio of codeine/cocaine is determined to assure the column is capable of separating components of a mixture. The abundance of each peak can be used to gain insight to problems that may exist with the injector and even with the column/source.

After the sequence for the batch sheet is determined, operators need to fill out the top of the form by noting the setup date, the setup analyst, the data file range of numbers to be used, and the sequence name for the run. The sequence name is the day of the run preceded by the instrument's assigned letter (i.e. E102402.s for system 5). When the sequence is typed into Chemstation, individual numerical data files are organized in the Window's Directory using the date with underscores (i.e. 10\_24\_02 may have data files 1-90). The sequence file name and the organizing data file name should share the same date. This date should also match the date on the tune. The sequence is saved and a hard copy is printed.

After the sequence is started, it is the operator's responsibility to make sure the first blank and QC Standard Mix test satisfactorily. Operators need to complete the GC/MS Daily Injector/Column Check (Attachment 6) sheet prior to continuing with the sequence. If the laboratory's QC parameters fail, the run should be aborted or reported to a supervisor. A multitude of malfunctions could also occur at the beginning of a sequence and the operator should check the instrument repeatedly throughout the day. If the system malfunctions at the beginning of a sequence, resume the instrument if possible. Otherwise, notify the MS Supervisor. If the problem is not addressed until the next day, re-tune the MSD. Make appropriate changes to the sequence file name, the data file path and to the data file book. If the system malfunctions at the end of the sequence, restart the instrument to finish the sequence. Retune instrument if the malfunction occurred over the weekend and save it with the original tune. If the instrument is inoperable, samples can be analyzed up to the last completed bracketing standard. For QC reasons, operators should save hand written sequence sheet even if a sequence is completely aborted and no analytical data is used for confirmatory work.

7/17/2007

12

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 13 of 20  
Effective Date:

Operators should also add a simple note explaining what happened to the samples of an aborted run. For example, samples could be placed on a different sequence or put back on the shelf.

#### *Miscellaneous*

*-Care should be taken not to avoid dividing a case's samples among different operators. This will minimize the possibility of several chemists having to appear in court.*

*- Operators should re-check that the laboratory numbers on the GC/MS control sheet match the numbers on the vials and card.*

*-Check the GC/MS control sheet for special instructions advising the operator to use a specific method. Standards, samples and blanks should be analyzed using the same method. For very weak samples, a modified method incorporating a lower split ratio or higher electron multiplier voltage may be used with all other parameters remaining constant.*

*-The GC/MS Laboratory will routinely confirm the highest class drug in a sample.*

*-Available methods-See Attachment 7 for Method Parameters*

Alcohol.m  
Clonaz.m  
Drugs.m  
Genscn.m  
Ghb.m  
Lsd.m  
Mdma.m  
Mush.m  
Nitrites.m  
Screen.m  
Speed.m  
Thc.m  
Thc\_Mod.m  
Viagra.m  
Weak.m  
WClonaz.m  
WGenscn.m  
WGhb.m  
WMdma.m  
WScreen.m  
WSpeed.m

7/17/2007

13



Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 14 of 20  
Effective Date:

## 12. Analytical Interpretation

Operators are expected to analyze data results by comparing the sample data to an authentic standard. A positive identification is made when the unknown and standards have consistent retention times (within +/- 1.5 % of the standard) and mass spectral fragmentation patterns (acquired in full spectrum scan mode). For the retention time test to be considered positive, a peak is considered a peak when the signal to noise ratio is at least 3:1.

**Positive Confirmation-Match quality**, as seen on every report, is only used as an interpretative guide to an unknown's identity and is not the determining factor for a positive identification. **All confirmations are always made by the analyst not the instrument.** Identification is based on corroborating results which include retention time, unique ions (ion clusters), ion abundance, literature reference comparison and probability based matching scores.

**Minimum Acceptance Criteria for Mass Spectral Confirmation-** A critical responsibility of every operator is to determine when the analyte concentration is strong enough to positively confirm its presence in a sample. Concentration plays a crucial role in qualitative identification. It not only determines relative abundance but also which ion masses are present or absent. The end result of all GC/MS data, whether it is a standard or a sample, must be to yield a searchable spectrum. The operator does not rely on the instrument for the answer to this question via match quality. Match quality alone can lead to misidentification as well as under-identification. Instead, the operator must rely on an accepted spectrum from a published reference book or library. The minimum abundance required for a particular analyte is achieved when it can be matched to a reference spectrum. This rule will apply to sample confirmation work and QC work performed by the laboratory. To obtain the necessary detail in a spectrum, the operator has many options available. A sample can be physically concentrated or it can be run on a more sensitive method. No general tolerance level for relative abundance will be stated. The exact definition of standard spectra tune is quite broad and not all reference spectra were acquired on the same type of mass spectrometer. (Some spectra were also obtained using direct insert probes at high temperatures.) Relative abundance will be left to the operator's discretion when a reference spectrum is being compared to a standard or sample. However, for a standard and sample being analyzed on the same instrument the relative abundances should mirror one another. Significant differences in concentration may need to be corrected if the relative abundance pattern is not consistent with the standard. Items can be physically concentrated/diluted and standards can be run on more sensitive methods.

**Carryover-** No carryover of the controlled target compound is allowed in the blank before a sample. Carryover is present when it is visible above the general noise level. When a defined

7/17/2007

14

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 15 of 20  
Effective Date:

peak begins to appear in a blank at a compound's retention time, even under 2X the noise level, the operator must check if this is carryover. If ions of the target compound are present, carryover is present. Carryover after a multiple requires that the multiple be repeated and also the next sample (if one is present). Carryover after a multiple raises the possibility that carryover occurred during the multiple. Ghost peaks, when identical to the target compound, are not allowed. Please bring ghost peaks to the attention of the GC/MS Supervisor. A late eluter, such as noscapine in heroin, is acceptable if it can be explained.

Occasionally an unknown may have a peak of interest that does not integrate. If the peak area of the TIC is below 100000, no report will be printed for this peak. One approach to non-integrated peaks involves using data analysis to manually analyze and print the results. Another approach is to lower the method's integration area threshold. If the analyte in question is too weak (does not meet minimum spectral requirements), the sample will need to be re-analyzed. The operator has the option of re-analyzing the sample on a more sensitive GC-MS method or, if necessary, it can be returned to the primary chemist for concentration. It then can be re-analyzed on the same or more sensitive method depending on the situation. When screening an unknown, all non-integrated peaks must be checked for controlled substances.

In the event GC/MS results are out of character with preliminary results, consult the primary chemist. A second analysis may be necessary to rule out initial inconsistencies that may exist. All negative samples should also be returned to the primary analyst if additional testing is required.

**Use of Background Subtraction**-Just like relatively constant noise from column bleed can be removed from a peak, background subtraction can be used when compounds elute in close proximity to one another. When compounds are separated by some amount of time, operators can successfully subtract unwanted ions. However, operators will not find this technique of assistance when compounds co-elute at the exact same moment in time. If co-eluting peaks share common ions, background subtraction will be problematic and confirmations may not be possible.

**Fronting**- The reported mass spectrum for each peak is generated using an apex minus start of peak background subtraction technique. For peaks that front, the true spectrum is not represented in the report and the operator should manually integrate these peaks. For weak samples, the operator can subtract ions at the end of the peak to remove background noise.

**Identification of Unknowns**- Unknown items are to be analyzed using the screen method. When screening unknowns all integrated and non-integrated peaks must be checked for controlled substances. Screen is designed for early and late eluters. The only exception to date is Sildenafil (Viagra). It will appear in the following blank so operators must end all unknown runs with a blank. The chromatography for screening may not be optimized for every drug but the spectral results should be adequate for identification. Once an unknown is preliminarily identified, confirmation is performed with bracketing standards using an appropriate method

7/17/2007

15

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 16 of 20  
Effective Date:

determined by QC. Tailored methods exist to improve chromatography and shorten run times when possible.

Once the common name for a compound is determined, the GC/MS operator must determine if it is a controlled substance. The operator will use a combination of resources to determine the legal status of a drug including the Physicians' Desk Reference, Massachusetts General Law, Chapter 94, Section 31 for the Controlled Substance Act and Attachment 8, the Microgram Bulletin, Volume XXXVIII, No. 5, May 2005 which summarizes the 59 controlled steroids in the Anabolic Steroid Control Act of 2004, Public Law 108-358.

*The above training instructions may not handle every possible working situation. Any doubts or questions should be taken to a senior chemist or supervisor. It is a requirement of the job and an expectation of the laboratory*

### 13. Limitations of GC/MS

- Compounds must be volatilized by the GC
- Sensitive to active sites -Affects sensitivity and carryover
- Thermal Breakdown
- Chemical reaction with the solvent in the injection port.
- Will not determine salt forms or distinguish between enantiomers
- Identification of unknowns limited by libraries and reference books
- Library match quality not always accurate
- Operators unfamiliar with the GC-MS analysis of a certain drug should check the standard QC folder for the proper method of analysis.

### 14. Test Reporting

All results will be reported on the GC/MS Control Sheet and the sample card assigned to every case. On the top of the control sheet, next to date analyzed, the operator needs to place the date the run was analyzed (the day the chemist sits down and reviews the results) and the sequence file name for retrieval purposes. If a sample needs to be returned to the primary chemist for additional testing, the date analyzed for the control sheet remains the GC/MS analysis date.

7/17/2007

16

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 17 of 20  
Effective Date:

The primary chemist will write on the front of the card their analysis date for when he/she completes the analysis. Fill out the remainder of the sheet by noting the retention times of the bracketing standards (under MS comments), the operator initials (under MS BY), the retention time of the unknown and the match quality (under RT/MQ), and lastly the findings under results.

Under the comment section of the GC/MS control sheet, GC/MS analysts may also note any other controlled substance of a similar or lower class. These findings will not be reported on the certificate but making note of them can be helpful. If more than one controlled substance of an equal class is present, the stronger or more prominent peak is usually identified. Occasionally more than one controlled substance is reported, in which case the appropriate standards are used (i.e. mixtures of ketamine and ecstasy or methamphetamine).

The front of the sample card is filled out noting the date analyzed (upper right hand corner), the number of tests/initials performed by the GC/MS operator (gas chromatography counts as one test and mass spectrometry as another) and the finding. The operator should place a red dot next to his/her initials as the secondary chemist. On the back of the card the operator notes if the GC/MS was positive/negative and the sequence file name. One must also write in the results and the analysis date here if the finding/analysis date is not reported on the front. For example, the card needs to be returned for crystal tests, THC quantification or ketamine salt form determination.

Completed cards are returned to the evidence office to generate certificates. All GC-MS hardcopies of all analytical data are saved. The original copy of the tune report stays in the GC/MS Laboratory for QC purposes. A second copy of the tune report stays with the instrument hardcopy. A copy of the sequence batch sheet stays in the GC/MS Laboratory. Two copies of the GC/MS control sheet need to be saved: one for the GC/MS Laboratory and one for the primary chemist. Data can be retrieved from the hardcopies or from the backup/archive compact discs.

## 15. Data Storage and Retrieval

Two copies of digital data should exist at all times, one on the acquiring instrument and one on the stand-alone (Dell) computer. Data backup should be performed as soon as the run is complete or immediately after it is analyzed. Hitting the data backup icon on the 5973 instruments or the compact disc icon on the 5971 performs data backup of the completed sequence. Before initiating data backup, the operator should be certain transcriptional errors do not exist. Proofreading, double-checking, etc should be performed before the sequence is initiated and at the very least when the run is completed. Address transcriptional errors with the MS Supervisor or simply make personal notations on all applicable paperwork. At the end of every month, the GC/MS Laboratory will store all analytical results on recordable compact discs (CD-R). Two CD-R copies are created: a

7/17/2007

17

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 18 of 20  
Effective Date:

backup copy and an archive copy. Raw data on the stand-alone computer is erased after duplicate CDs are created.

Data can be retrieved from the hardcopies or from the backup/archive compact discs. Electronic retrieval is only possible from the 5973 instruments (systems 4, 5, and 6) under Data Analysis. Not all the instruments have the same libraries. Therefore, reprocessing should be performed on the instrument the data was acquired on with the proper acquisition method loaded. The only way to get a duplicate copy from system 3 is from the hardcopy. Otherwise, the raw data can be reprocessed on one of the 5973 instruments but the match qualities may be slightly different. For discovery motions, supply bracketing standards, the item(s) and blanks. Blanks should include those preceding the unknown and the bracketing standards.

## 16. Record Retention

GC-MS hardcopies, the backup CD and the archive CD are to be safely stored for a period of 15 years from the date of analysis. The equipment and software needed to open the raw data files also needs to be kept for the same period of time. In the event of fire, CD copies should be stored in separate locations.

## 16. Compliance Monitoring

Monthly QC sample audits will examine GC-MS results to ensure this SOP is being followed. The GC/MS Supervisor will perform the audit.

## 17. References

Hewlett Packard  
HP GC-MSD Chemstation and Instrument Operation- Student Manual  
Volume 1 and Volume 2  
G1701BA Version B.01.00  
Course Number H4043A

HP 5973 MSD Reference Collection  
Disc 1/3  
Reversion C.00.00  
February 1998

7/17/2007

18

Massachusetts Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
Author: Peter Piro

SOP DR.001  
Version: 1  
Page: Page 19 of 20  
Effective Date:

Hewlett Packard  
Hp 5973 Mass Selective Detector Hardware Manual, Manual Part # G1099-90001  
First Edition, 8/96

Hewlett Packard  
HP 5971A MSD Hardware Manual, Manual Part # 05971-90019  
Third Edition  
Copyright 1991

Hewlett Packard  
HP G1034C  
MS ChemStation Software User's Guide, Manual Part #G1034-90043  
Copyright 1993  
First Edition

Mass Spectrometry Desk Reference  
First Edition  
O. David Sparkman  
Global View Publishing  
Copyright 2000

Analytical Chemistry  
Fourth Edition  
Gary D. Christian  
Copyright 1986 by John Wiley & Sons, Inc.

Introduction to Organic Laboratory Techniques- A Contemporary Approach  
Pavia, Lampman and Kriz- Western Washington University  
Second Edition  
CBS College Publishing  
Copyright 1982

## 18. Attachments

Attachment 1-The Mathieu Stability Diagram  
Attachment 2-Drug Laboratory GC-MS Standards  
Attachment 3-Drug Laboratory GC-MS Control Sheet  
Attachment 4-Common Contaminants  
Attachment 5-Drug Laboratory Batch Sequence Sheet  
Attachment 6-GC-MS Daily Injector/Column Check  
Attachment 7-GC-MS Methods

7/17/2007

19

# **GOLDBACH ATTACHMENT F**



AGO State Lab  
Investigation  
000005

**Massachusetts State Police**  
**Office of the Attorney General**  
**One Ashburton Place, Room 1910**  
**Boston, MA 02108**

**To:** Lieutenant Colonel Francis J. Matthews *FM* 9-15-12  
Commanding, Division of Investigative Services

**From:** Detective Lieutenant Robert M. Irwin  
Commanding, MSP-AGO Detective Unit

**Subject:** Interview of: Daniel Renczowski  
August 21, 2012 at 0945 hours



Interview conducted on August 21, 2012, at approximately 0945 hours. Interview conducted by Detective Captain Joseph Mason, Detective Lieutenant Robert Irwin and MOSES Attorney Paul Donahue.

**Case #:** 2012-034-2589-0052

1. Dan Renczowski advised he has been with the lab since October 2005. He is a Chemist II and he has his paperwork in to be a Chemist III. Renczowski's responsibilities are analysis, backup to the mass/spec supervisor Peter Piro, mentoring chemists, and he's the backup safety officer. He also is responsible for the ordering of lab inventory.
2. Renczowski advised that he has worked with Annie Dookhan for almost seven years. He took over on quality control work and Dookhan trained him. Dan believed that Dookhan was a good trainer. However, sometime in April or May of 2011, Dan advised that Dookhan improperly put Renczowski's initials on a document called a control sheet. The initials indicated that Renczowski had taken custody of the vials that went to the mass/spec department and Renczowski's initials would have meant that everything on the control sheet was correct.

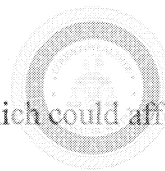


Renczowski advised that his initials at that point would have been an administrative review and what Annie Dookhan had written down was correct. Renczowski had not seen the document and did not initial it. He stated it was falsified and forged by Dookhan.

3. Dan advised Dookhan had brought vials into the mass/spec and put them on the machine and set them up to run overnight. She would then ask Peter Piro to analyze them the next day. Dan advised that at the time it was okay to do that, but it was changed later. Dan advised that Dookhan was the primary chemist on the run. Peter Piro, the mass/spec supervisor, noticed a mistake on a form and he saw Renczowski's initials on it and called Renczowski in. He states that they looked at the form and realized it wasn't Renczowski's handwriting. Piro was surprised that Renczowski would let the mistake get by him. At that point they realized Renczowski had not initialed the form. Dan states that Piro then called Dookhan in as she was the primary chemist. Dookhan came in and it was Peter Piro, Renczowski, and Annie Dookhan. Piro confronted Dookhan with what Renczowski said about the initials and Renczowski added that the handwriting was Dookhan's, and that she had written Renczowski's initials. Dookhan said she made a mistake and she took the form back. Dan advised that Peter Piro also gave her the vials back.
4. Dan advised that Dookhan did a new sheet and had Renczowski sign the samples in to the mass/spec the proper way. The samples were analyzed at a later date. Renczowski does not recall which samples they were. Renczowski advised Peter Piro that he was upset that Dookhan had signed his initials. Piro said to take it to Chuck Salemi, which Renczowski did. Dan states that Chuck Salemi said he would take care of it. Dan has no documentation of the event that he is aware of. Shortly after this, Dan advised that Piro sent a memo out about samples being put on the mass/spec machine by primary chemists. The samples were to be put on by the secondary chemist.
5. Dan states that there were several instances where Dookhan would bring in a sample to the mass/spec as one narcotic and the sample would read out as a different narcotic on the mass/spec instrument. Renczowski did a discovery package on a case that Dookhan believed to be marijuana. Dan advised that Dookhan had sent the vials into the mass/spec and said that both samples were Delta 9 THC which would confirm as marijuana. Delta 9 THC is the active chemical in marijuana. Renczowski did the analysis on the mass/spec, assuming they were THC. The first vial wasn't straight THC. It was co-alluding with morphine and also codeine present. The second vial was negative or there was a very trace amount of THC in the second vial but nothing he could confirm. Dan advises this would be unusual and was happening at an increasing frequency with Annie Dookhan's case.
6. Renczowski advised that he sent the samples back to Dookhan. Dookhan sent the samples in to the mass/spec again and Renczowski advises that they came back as an almost perfect standard for THC. Dan states the procedure in place then was that the samples were returned to the primary chemist for them to figure it out. The chemist was supposed reanalyze the samples. Renczowski spoke with

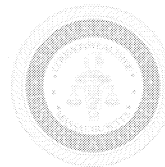
Dookhan and advised her how the samples originally came out. Renczowski was not sure what Dookhan wanted to do with them. Dookhan advised Dan that she would take care of it. Dan states that at some point Dookhan resubmitted the vials with the same lab number. Dan states that the specter did not look anything like the first two vials run with the same lab number. The new vials looked like typical marijuana samples. No morphine or codeine. Renczowski did not realize the samples were from the same lab number. Dookhan had given a new control sheet and it did not have Renczowski's handwritten notes on it, but on the back of the control card Renczowski had written on the back of the card the original run and the results with the morphine and codeine.

7. Renczowski brought the issue to Peter Piro's attention and he is not sure what Piro did. Renczowski advises that he will get us the discovery package on that case. Renczowski advises that after the marijuana control sheet incident nothing else happened with Dookhan because Salemi told him to bring it to him.
8. Dan advises that there have been inconsistencies in the past with Dookhan's cocaine and heroin samples submitted to the mass/spec. Dookhan would submit a cocaine sample and it would come back heroin or vice versa. Dan believes the time in which the cocaine and heroin samples were not coming out right was around 2010 or so. Renczowski thought it was an honest mistake. He feels it happened about five times that Dookhan got cocaine and heroin wrong. He advises that she also got prescription drugs wrong once or twice. Renczowski advises there are no similar occurrences with other chemists.
9. Renczowski recalls that before the control sheet issue Dookhan had submitted cocaine that came back as nothing at all, after the vials went through the mass/spec. Renczowski ran it twice and it came back nothing. The samples were then returned to Dookhan and Renczowski is not sure what happened with the case. Renczowski explained that the chemists assign a 6-digit number to the samples that go into mass/spec. Those are kept in the data file of the machine and it also has the date. The run number has the date and instrument name. In an effort to see if investigators could find the case Renczowski refers to earlier in this paragraph, Renczowski advised that we could go through the control sheets or control cards to try and find the sample numbers.
10. Dan advised that there are no reports or statistics that he is aware of on chemists that submit samples as being one drug and then coming back as another.
11. Renczowski would check Dookhan's vials into the mass/spec. Renczowski would point out mistakes that Dookhan would change right on the spot. Renczowski would ask Dookhan how she would know that's the right lab number and Dookhan would say, I know and she would not check any paperwork.
12. According to Dan, Dookhan had some questionable lab habits. Dookhan would have many mass/spec vials open to the air and uncapped. The vials were next to each other on the rack. There is a potential for cross contamination. Also the



room was dry and there was a lot of static electricity which could affect the sample.

13. Dan states that the QC Mix was done to make sure the mass/spec machine is running properly. Renczowski went back after the June 2011 incident and checked QC Mixes of Dookhan and some appeared blank. Renczowski makes a QC Mix in a large flask he puts it in vials and they run before the samples to make sure the machine is running correct. When Dookhan ran the QC Mix there was no peak, but Dookhan filled out the form saying that the numbers on the QC run were correct. Dan advised there was actually no data showing the the data that Dookhan claimed. Dan states a chemist is supposed to run two blanks, then a CQ Mix prior to any run. Piro kept a file on Dookhan in regards to a QC Mix which he found after the June 2011 incident. Dan states that Piro was going back and doing an investigation on Dookhan's QC Mix. According to Dan Dookhan was approved to run the mass/spec instrument.
14. Renczowski recalls an incident involving another forgery by Annie Dookhan. Nicole Medina was given a copy of a tune sheet by Renczowski, which contained the alleged forgery. The original tune sheet just had Dookhan's initials. The second one had both Annie Dookhan and Nicole Medina's initials. According to dan the two copies are supposed to be the same and there is supposed to be a copy left at the machine and another copy left in records. Dan advised that other chemists made paperwork mistakes. They inverted numbers but none to the extent of Dookhan and none stating that a sample was one thing and it was actually another or nothing at all.
15. Dan states that prior to June 2011, all the chemists had access to the evidence office using the palm reader. If no one was in the evidence office a chemist could use the palm reader unless the door was dead bolted or alarmed. There were times that Dan was in the evidence office to ask a question and realize no one was there and he would walk out. Renczowski did not think it was appropriate to be in the evidence room without anybody in there. He does not remember the evidence locker safe being opened with no Evidence Officer there. He did not know the code to the evidence safe. Dan states that Betsy, Shirley and Gloria are the only ones that Renczowski has seen open the safe door. Renczowski has never tried opening the door to the evidence room with his key. Renczowski has been in the evidence room or side room, Room # 355 and when an Evidence Officer advised that they were going to the bathroom and leaving Renczowski alone. However, when this occurred the safe door would be closed. Dan states that when an Evidence Officer is in the evidence room the safe door was open on a routine basis. Someone acted as the Evidence Officer if the regular evidence officer could be there. Dan states that if there was no back up then the evidence room would be closed.
16. Renczowski never discussed the evidence log book or anything to do with it with Dookhan. Resubmittals used to run through Julie Nassif, who would approve or not approve whether there is a retest. Then the retest would go to Betsy O'Brien for assignment.



AGO State Lab  
Investigation  
000009

Respectfully submitted,

*Robert M. Irwin* #1230

Robert M. Irwin  
Detective Lieutenant, #1230  
Massachusetts State Police  
Office of the Attorney General

# **GOLDBACH ATTACHMENT G**



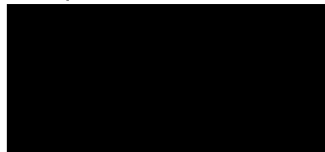
AGO State Lab  
Investigation  
000021

**Massachusetts State Police**  
**Office of the Attorney General**  
**One Ashburton Place, Room 1910**  
**Boston, MA 02108**

**To:** Lieutenant Colonel Francis J. Matthews *JM 9-15-12*  
Commanding, Division of Investigative Services

**From:** Detective Lieutenant Robert M. Irwin  
Commanding, MSP-AGO Detective Unit

**Subject:** Interview of: Peter Piro  
August 27, 2012 at 10:30a



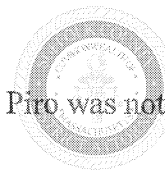
Interview conducted on August 27, 2012, at approximately 10:30a.  
Interview conducted by Detective Captain Joseph Mason, Detective  
Lieutenant Robert Irwin and MOSES Attorney Kleine.

**Case #:** 2012-034-2589-0052

1. Peter Piro advised that he has been at the JP Drug Lab since December 1991 and that his current title is Lab Supervisor I. He supervises the GC/MS Lab. He also conducts training, quality control, and outside purchases. Piro advised that initially he thought Annie Dookhan was a hard worker and diligent. But there came a time that Piro noticed some red flags. Piro advised that he noticed Dookhan's sample numbers were unusually high. Piro noticed that around 2007 or 2008 is when he started noticing Dookhan's numbers were high. Peter Piro spoke with Elizabeth O'Brien, who was Annie Dookhan's immediate supervisor at that time (2008-2009). In 2009, Chuck Salemi became Dookhan's immediate supervisor. Peter Piro didn't get the feedback that he expected from Elizabeth O'Brien so he went to his superior, Chuck Salemi. Piro spoke with Chuck Salemi about his concerns of Dookhan's numbers being so high. His concerns were that she might not be doing all the tests she should be performing. According to Piro when performing a cocaine test you're supposed to perform a micro-crystal test. According to Piro he never saw Dookhan in front of a microscope. This made him suspicious, but was not proof of any improprieties.



2. Piro advised that Dookhan would bring in racks and racks of vials to the mass/spec day after day. Piro doesn't believe Dookhan could do those numbers correctly. He also noticed that Dookhan was not always at her bench. Piro states that Dookhan also had other responsibilities at the lab such as making up standards. He states that she didn't do those in a timely fashion, so that duty was taken away from her. Dookhan was supposed to review documents for quality control and when they got to Piro the documents would have mistakes.
3. Peter Piro reported all of these concerns to Chuck Salemi. As a result, Chuck did an audit of Dookhan's paperwork only. Salemi told Piro that he had also e-mailed Julie Nassif about Dookhan. Chuck Salemi told him that it wasn't his (Salemi's) place to discipline Dookhan and that it was up to Julie Nassif. Piro advised that disaster struck in the spring of 2011. He stated that it was almost like Dookhan wanted to get caught.
4. Piro advised that prior to the June 2011 incident, Dan Renczowski reported to Peter Piro that Dookhan had forged his (Dan's) initials on a control sheet. Dookhan was the primary chemist and was only supposed to fill out her portion of the sheet. However Piro advised that she filled in Renczowski's portion and signed his initials. Piro confronted Dookhan with the control sheet. She did not respond, but took it back and resubmitted it correctly.
5. Another impropriety Piro discovered involving Dookhan concerned the falsification of a quality assurance test. The test is known as a Quality Control Daily Injector Test on the GC/MS. Piro advised the test is done prior to a run of samples on the GC/MS to insure the instrument is working properly. Piro discovered that prior to a particular run Dookhan failed to properly inject a QC mixture, therefore the results came out as a blank. Piro states that Dookhan then made up test numbers that were within the acceptable range. Peter Piro has a copy of that GC/MS daily injector column check sheet. Piro spoke with Dookhan about it. He advised that she didn't say anything when Piro showed her the made-up numbers. This caused Piro to pull the raw data and he saw the numbers were blank on the run that Dookhan had done. Piro went to Chuck Salemi about the made-up numbers and the forging of the initials. Piro felt that it was over the top what Dookhan was doing.
6. After the incident in the evidence office in June 2011, Julie Nassif told Peter Piro that it didn't really matter about the forgeries and made up data because Annie Dookhan was in enough trouble for what she did in the evidence office in regards to the evidence log book. Peter Piro advised that he didn't agree and felt it should be looked at in its entirety. Peter Piro is worried about being asked questions by a Defense Attorney and didn't want to perjure himself. Julie Nassif advised him, "Don't perjure yourself." Piro advised that there were no admissions made by Annie Dookhan to Peter Piro about the testing of the samples. Peter Piro was surprised that Elizabeth O'Brien



gave Annie Dookhan access to the database. Peter Piro was not sure if it 000023  
a read-only privilege.

7. Piro states that Dookhan started to have trouble with her cocaine and heroin samples being wrong when they went through the mass/spec. A few ended up being both a cocaine and heroin mix called a speedball. Piro advised that a chemist is supposed to run a cocaine and heroin bracketing standard on that type of sample. Peter Piro thought that Annie Dookhan had higher than average samples that were bracketed as such. Piro thought that this allowed Dookhan to cover both instead of doing the presumptive tests.
8. Piro thought that Dookhan had a higher than average amount of samples that she said were cocaine that turned out to be heroin. He states that if a chemist is "dry labbing" and just looking at samples and not doing the color test, that is where they get the samples wrong. Peter Piro does not have any firsthand knowledge that Dookhan was "dry-labbing" just his suspicions.
9. Piro advised that on one occasion he came in on a Saturday on overtime. Annie Dookhan was also working that day. Piro observed Dookhan arrive at work and commence to measuring samples without doing a balance check on her scale. Piro stated that he had enough of Dookhan. He went over and put the weights a chemist uses for balancing their scale in front of her. They stared at each other and Piro felt that Dookhan got the message that she needed to make sure her scale was correct.
10. Piro related an incident when Dan Renczkowski performed a GC/MS test on a sample that Dookhan had sent in as THC (marijuana). Renczkowski gave the samples back to Annie Dookhan because it did not come back correctly in the mass/spec. When it came back to the mass/spec again, it came back as THC (marijuana).
11. Piro advised that Dookhan had a few too many cocaines that turned out to be heroin for Peter Piro's satisfaction. He states she would say it was cocaine and the mass/spec would determine it to be heroin. Piro reported these instances verbally to Chuck Salemi shortly after each occurred.
12. Piro states that it took six months for the DPH lawyers to do their investigation after the incident in June of 2011. The chemists were all wondering why Annie Dookhan was able to stay in the lab. Though she was not doing samples, she was still in the lab.
13. Piro states that Dookhan occasionally assisted in the evidence room. Piro never saw the safe door open when there wasn't an Evidence Officer in the room. Piro did not know the code to the evidence safe. Piro heard later, after the June 2011 incident that his key opened the safe door, but it wasn't supposed to work on the safe door. He never saw Dookhan use a code or key to open the safe door.



14. Piro advised that Dookhan had relationships with ADA's so she would put sample numbers for them. Piro states that Shirley Sprague finally said, "No, no taking samples out of order." Piro recalls that ADA's were calling Dookhan direct and not the evidence office as was the proper procedure.
15. Piro alluded to a gender discrimination complaint by some of the female employees at the lab and Michael Lawler. It was a discrimination complaint brought by females in the chem lab who felt they weren't being treated fairly by the lab and Salemi. Piro feels that after that discrimination complaint, Salemi felt that he could not discipline the people that worked for him.
16. Piro advised that the mass/spec results not agreeing with the custodial chemist's initial finding happened very infrequently. Usually it was due to an administrative error. If that was the case, the sample would be given back to the chemist to correct. Piro advised that when heroin was switched to the plastic bags from the glassine bags (glassine bags are the waxed paper type packaging) there was a higher instance of Dookhan getting cocaine samples back from the mass/spec that were actually heroin. The suspicion Piro had is that Dookhan would "dry lab." According to Piro, Dookhan would look at the sample and think it is cocaine and not heroin due to the packaging.

Respectfully submitted,



Robert M. Irwin  
Detective Lieutenant, #1230  
Massachusetts State Police  
Office of the Attorney General

# **GOLDBACH ATTACHMENT H**



AGO State Lab  
Investigation  
000039

**Massachusetts State Police**  
**Office of the Attorney General**  
**One Ashburton Place, Room 1910**  
**Boston, MA 02108**

**To:** Lieutenant Colonel Francis J. Matthews *JM 9-15-12*  
Commanding, Division of Investigative Services

**From:** Detective Lieutenant Robert M. Irwin  
Commanding, MSP-AGO Detective Unit

**Subject:** Interview of: Nicole Medina  
August 28, 2012 at 1230 hours



Interview conducted on August 28, 2012, at approximately 1230 hours. Interview conducted by Detective Captain Joseph Mason, Detective Lieutenant Robert Irwin and MOSES Attorney Paul Donahue.

**Case #:** 2012-034-2589-0052

1. Nicole Medina advised she is a Chemist II and has been with the lab since November 2004, she analyzes drugs. Nicole advised that she has worked with Annie Dookhan and that they were co-workers. Annie Dookhan worked in a different area than Nicole. They did not do work together but there might have been one or two occasions when they prepared a re-agent together. Nicole would joke with Annie about her being the "super woman" of the lab.
2. According to Nicole, the chemists were allowed to go in the evidence room until a few months ago. Nicole Medina never wanted to and never went into the evidence safe. Nicole did not know the combination for the safe and never tried her key on the safe. Nicole advises the safe door has been open when she has been in the evidence room in the past, but that there was always an evidence officer present. Nicole states that there might have been a few times the evidence officer left Nicole alone in the evidence room when the evidence office would go to the bathroom, but that the evidence officer would always lock the safe. Nicole states she has never talked to any chemists who got their own samples out of the safe. Nicole does not know of anyone who tested her key on the evidence safe door.

3. Nicole stated that the mass/spec tune test, which makes sure the instrument is running properly is supposed to be signed off by two chemists. Nicole advised that Annie Dookhan would set the machine up and then they were both supposed to initial the tune test sheet. Nicole stated that she learned Annie Dookhan signed her (Nicole's) initials on the sheet without her knowledge. Nicole's initials were put down on the sheet as doing the review. Nicole advises that she did not initial the form. Nicole believes this happened sometime around the end or middle of June 2011. Nicole states that when two chemists' initials are on the original, a copy is made and one copy goes into the file/records room and the other copy goes in a file next to the instrument. Nicole found one copy of a tune test dated June 10, 2011 in the binder next to the mass/spec instrument and it had the initials ASD (Annie S Dookhan) and the date. It also had the initials NEM (Nicole E Medina) and the date. Nicole advises that it is not her handwriting and she did not initial the sheet. Nicole went and found the copy filed in the records room and that copy only had ASD and the date. Nicole states that she has no idea why the two copies are different or why her initials were used. She just happened to find the document. She had heard of similar issues with Dookhan and the forging of initials so she might have been on a heightened state of alert to see if Dookhan had forged her initials. Nicole provided us with a copy of this tune test.
4. Nicole advised that she went on maternity leave between November 21, 2010 and she was back to work on May 25, 2011. Nicole was just getting back up to speed from maternity leave in June of 2011. That is when Peter Piro was at DEA School and not at the lab. Nicole advised that Annie Dookhan tried to pressure Nicole to analyze her mass/spec submissions. Nicole would not do it because Peter wanted to recertify Nicole when he got back from the DEA school.
5. Nicole recalls that on an unknown date, after Dookhan was removed from lab after the June 2011 incident, she observed Dookhan in the mass/spec lab. Nicole advised that even though Dookhan was supposed to be prohibited from entering the mass/spec lab she still would go in. Nicole believes that around the early fall of 2011, Nicole found Dookhan in the mass/spec room, at the computer, with the door shut and the lights off. Nicole asked Dookhan what she was doing and Dookhan said the bright lights bothered her and she didn't want them on. Nicole reported this to Peter Piro. Nicole also adds that Annie Dookhan sometimes got requests direct from ADAs to do discovery.

Respectfully submitted,

 #1230

Robert M. Irwin  
Detective Lieutenant, #1230  
Massachusetts State Police  
Office of the Attorney General

# **GOLDBACH ATTACHMENT I**

**From:** Khan, Annie (DPH)  
**To:** "Wortmann, John (USAMA)"  
**Subject:** RE: [REDACTED]  
**Date:** Wednesday, June 10, 2009 9:02:33 AM

---

No problem. I have the same attitude. . get them off the streets.

-Annie

---

**From:** Wortmann, John (USAMA) [mailto:John.Wortmann@usdoj.gov]  
**Sent:** Wednesday, June 10, 2009 8:59 AM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]

Annie—thanks. Sorry to be so bothersome lately. But the Summer approaches and we need to take some of these guys off.

---

**From:** Khan, Annie (DPH) [mailto:Annie.Khan@state.ma.us]  
**Sent:** Wednesday, June 10, 2009 8:57 AM  
**To:** Wortmann, John (USAMA)  
**Subject:** [REDACTED]

Hi John,

I just faxed over the certificates for:

Lab # B09-06723 & B09-06724 [REDACTED]

Lab # B09-07416 & B09-07417 [REDACTED]

Thanks,

Annie Dookhan  
617-983-6631

**From:** [MacKinlay, Glenn \(USAMA\)](#)  
**To:** [Khan, Annie \(DPH\)](#)  
**Subject:** RE: Predicate Court Questions (Drug Lab)  
**Date:** Friday, October 02, 2009 3:49:05 PM

---

Thanks for doing this Annie. We would love to have the IR questions, if it is not too much work.

---

**From:** Khan, Annie (DPH) [mailto:[Annie.Khan@state.ma.us](mailto:Annie.Khan@state.ma.us)]  
**Sent:** Friday, October 02, 2009 3:36 PM  
**To:** Sullivan, Suzanne (USAMA); Wortmann, John (USAMA); Richardson, Robert (USAMA); Bucci, Jeremy (SUF); Green, Matthew (PLY); Papachristos, George (NFK); Fregault, Garrett (BRI); Solet, David (NOR); Brennan, John (EAS); Shea, Bryan (CPI); Boivin, Mark (BRI); MacKinlay, Glenn (USAMA); Fisher, Robert (USAMA)  
**Cc:** Strojny, Aaron (BRI); Gibson, Moya (NOR); Kidd, Robert (BRI); Fahy, Brian (SUF); Snook, Jennifer (NOR); Swadling, Mark (SUF); Nash, Amy (NOR); Barnes, Brendan (PLY); Hyde, Barrett (SUF); Haywood, Montez (SUF); Dolhun, Susan (EAS); LaMacchia, Brian (NOR); Brandt, Nicholas (SUF); Gyebi, Yaw (SUF); Clayton, David (NOR); Young, Christian (SUF); Friedholm, Greg (EAS); Buxton, Kristen (EAS); Lally, Adam (NFK); Cannon, Doug (NOR); Muche, Clint (EAS); Zaganjori, Samir (NOR); Ham, Catherine (PLY); Abely, William (NOR); Allain, Nicole (NOR); Healy, Jessica (PLY); Le, Cam (NFK); Rutley, Jonathan (NFK); Flynn, Maryclare (BRI)  
**Subject:** Predicate Court Questions (Drug Lab)

Hi,

I would like to thank everyone for their cooperation and patience since the Melendez-Diaz decision.

I have attached some predicate questions for drug analysis to this email. Please distribute to your colleagues.

General Questions

General Questions with GC/MS confirmatory testing (#17-34).

AUSA: If you need predicate questions for the Infra Red (IR) analysis, let me know. I will put together some basic questions.

If anyone needs clarification on the roles of the chemists, chain of custody, discovery packet or anything else pertaining to drug analysis, feel free to contact me.

I will be out of the Lab from October 3<sup>rd</sup> to 10<sup>th</sup>. I will be checking my emails and work cell.

Once again, thank you to everyone.

Thanks,  
Annie Khan Dookhan  
Chemist  
Drug Analysis Laboratory  
617-983-6631 (work)  
617-983-6625 (fax)  
781-367-4152 (w. cell)

**From:** Solet, David (NOR)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: Pharmaceutical Questions  
**Date:** Tuesday, August 24, 2010 4:47:54 PM

---

Sending over now. Thanks Annie.

---

**From:** Khan, Annie (DPH)  
**Sent:** Tuesday, August 24, 2010 1:55 PM  
**To:** Solet, David (NOR)  
**Subject:** RE: Pharmaceutical Questions

Fax is fine, writ to my ATTN. See below for fax #.

As for methadone, it is non-opium derivative, class B (meaning made from synthetic opioid). I do not believe there is any Trafficking status for methadone.

Let me make a call to S/A Kramer for the DEA, once I see the questions.

Thx

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

**From:** Solet, David (NOR)  
**Sent:** Tuesday, August 24, 2010 1:38 PM  
**To:** Khan, Annie (DPH)  
**Subject:** Pharmaceutical Questions

Hi Annie –

I am pursuing a pharmacy burglar and had a couple of questions about some different types of pills – specifically, do you know the standard weights per pill for the particular pills (“methadone 10 mg” for example), and would you classify them as “derivatives of opium.” I am interested in pursuing this guy for trafficking as well as for burglary – he would face a much stronger penalty.

Can I fax you a list of the pills in question? If so, what is the best fax number?

Dave



**From:** [McManus, Stephen C.](#)  
**To:** ["Annie.Khan@state.ma.us"](mailto:Annie.Khan@state.ma.us)  
**Subject:** Re: Sample Completed  
**Date:** Thursday, October 07, 2010 4:56:10 PM

---

Hi Annie, I'm sorry I didn't get back to you sooner...  
Can you give me a call when you return from your vacation?

Thanks again,  
Steve

----- Original Message -----

From: Khan, Annie (DPH) <[Annie.Khan@state.ma.us](mailto:Annie.Khan@state.ma.us)>  
To: Bucci, Jeremy (SUF) <[Jeremy.Bucci@state.ma.us](mailto:Jeremy.Bucci@state.ma.us)>  
Cc: McManus, Stephen C.  
Sent: Wed Oct 06 20:14:17 2010  
Subject: Sample Completed

Hey Guys,

The sample is completed and will be ready to be picked up on Thurs AM. I will try my best to have a copy of the discovery packet ready with the sample before I leave on vaca. The Certificate will read: The substances contained were Cocaine Base (Crack). I had some ATF samples to analyze so I did an IR Spec to differentiate between Cocaine Hydrochloride and Cocaine Base (Crack).

Steve: If you have to bring in samples for some reason just shoot me an email or text/call my cell (781-367-4152) and we can make the arrangements. I will have those samples specifically assign to me.

Thanks as always.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

From: Bucci, Jeremy (SUF)  
Sent: Wednesday, October 06, 2010 3:40 PM  
To: Khan, Annie (DPH)  
Subject: RE: Info

[stephen.mcmanus@ic.fbi.gov](mailto:stephen.mcmanus@ic.fbi.gov) <<mailto:stephen.mcmanus@ic.fbi.gov>>

can you give McManus the discovery packet on that sample too so that I don't have to ask Bukuras to go pick it up?

Thanks!

Jeremy Bucci  
Chief of Narcotics and Asset Forfeiture Unit  
Suffolk County District Attorney's Office  
1 Bulfinch Place  
Boston, MA 02114  
(617) 619-4127 (o)  
(617) 523-5962 (f)  
[jeremy.bucci@state.ma.us](mailto:jeremy.bucci@state.ma.us) <<mailto:jeremy.bucci@state.ma.us>>

---

From: Khan, Annie (DPH)  
Sent: Wednesday, October 06, 2010 3:31 PM  
To: Bucci, Jeremy (SUF)  
Subject: Info

Jeremy,

Can you forward me Det. Steve McManus's email address? I would like to give him a heads up that the sample is completed.

I will fax over the Cert for FBI sample to you tomorrow and return the sample back to the safe.

Thanks.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

**From:** Papachristos, George (NFK)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: RX Question  
**Date:** Saturday, November 20, 2010 8:02:00 PM

---

Thank you!

George N. Papachristos  
Assistant District Attorney  
Norfolk County District Attorney  
45 Shawmut Road  
Canton, MA 02021  
781-830 4800 ext. 369  
fax: 781-830-4801  
cell: 781-974-6823

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Saturday, November 20, 2010 8:00 PM  
To: Papachristos, George (NFK)  
Subject: RE: RX Question

No prob.

If they are not completed, I will have them assign to me. I need get samples anyways.

I'll keep u posted.

AK

---

From: Papachristos, George (NFK)  
Sent: Saturday, November 20, 2010 7:39 PM  
To: Khan, Annie (DPH)  
Subject: RE: RX Question

That's AWESOME!!!!!!!!!!!!!!!!!!!!!!!!!!!!

I have grand jury this Tuesday, and if they are not ready, I will get another date for presentment.

B10- 50969  
50938 TO 50968

I know those are a lot! I just wanted to see the status.

Thank you,  
Thank you,

Thank you!

George N. Papachristos  
Assistant District Attorney  
Norfolk County District Attorney  
45 Shawmut Road  
Canton, MA 02021  
781-830 4800 ext. 369  
fax: 781-830-4801  
cell: 781-974-6823

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Saturday, November 20, 2010 7:33 PM  
To: Papachristos, George (NFK)  
Subject: RE: RX Question

What are the Lab #?

I will get an update on Monday AM for you.

AK

---

From: Papachristos, George (NFK)  
Sent: Saturday, November 20, 2010 5:31 PM  
To: Khan, Annie (DPH)  
Subject: RE: RX Question

Haha!

You're the best!

I'm sending a fax cover to Shirley this weekend to get an update for some drug certs!

Talk to you!

George N. Papachristos  
Assistant District Attorney  
Norfolk County District Attorney  
45 Shawmut Road  
Canton, MA 02021  
781-830 4800 ext. 369  
fax: 781-830-4801  
cell: 781-974-6823

The preceding email message (including any attachments) contains information that may be

confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Monday, November 15, 2010 5:06 AM  
To: Papachristos, George (NFK)  
Subject: RE: RX Question

You're the best!!

Hey, stop & breathe.

Oh please, no apologies needed. You are wicked busy and I hated to bother you. This is what I get for taking work with me on my vaca.

Anyways, as for the case, with a lot of coordination, tremendous am't of work and late nights/mornings, we have success. Dave Solet charged him with trafficking Class B and armed robbery. Jeremy Bucci has him in custody for Class A narcotic and SZ violation. Steve Butts charge with Class B and possession of firearm. Chris Bator and I did a lot of work and bumped it federally b/c involved the postal service and homeland security. Bucci was more than happy to hand over the files to me.

And to top it all off, on the week of halloween, the defendant (a real winner) was charged with rape/sexual assault on a minor. Now, that hit my heart closely and for that he needs to be locked up and throw away the key. I had the pleasure of spending some time with the young lady and she is a sweetheart. So very young to have to go threw this ordeal, not just physically but mentally.

Needless to say, def. will be making a lot of friends in the federal pen, named John. haha

Thanks for getting back to me. Happy Monday!!!

Hope all is well. Would you relax,pleaseeeeeeeeeeeee!

AK

---

From: Papachristos, George (NFK)  
Sent: Sunday, November 14, 2010 6:35 PM  
To: Khan, Annie (DPH)  
Subject: RE: RX Question

Annie.....!

Sorry.....

I had 8 back to back fatals that I had to respond to over the last couple of weeks along with 2 jury trial in Superior Court, and I haven't had the chance to even breathe!!!!!!!!!!

Hmm...let me see, for that specific set of facts (stoughton robbery where D stole drugs) I would think Armed Robbery, or Unarmed Robbery depending on whether he threatened a clerk; if he broke in: It would be B & E intent to commit a felony, (either night or day); larceny from a building, and possibly malicious damage if he broke things in order to get in (that can be charged along with the B & E but cannot be a concurrent conviction with that charge).

Hmm.,...

As far as other stuff; tough to tell without more facts.

I know I am WAY TOO late in answering your email, I am very sorry!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!

GP

George N. Papachristos  
Assistant District Attorney  
Norfolk County District Attorney  
45 Shawmut Road  
Canton, MA 02021  
781-830 4800 ext. 369  
fax: 781-830-4801  
cell: 781-974-6823

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

---

From: Khan, Annie (DPH)  
Sent: Saturday, October 16, 2010 3:47 PM  
To: Papachristos, George (NFK)  
Subject: RX Question

Georgeeee!!

I know you are wicked busy. No rush.  
I have a question about charges for pills and steroids.

The case involves Suffolk, Middlesex and Bristol counties. I am trying to bump it to Federal court b/c def. may be have robbed several pharmacies out of state. Trying to figure out the possible charges, other than SZ violation, possession and intent to distribute.

I did a case involving a Stoughton pharmacy robbery earlier this year and it was about 1000 grams of oxycodone or Class B drugs. What would be the possible charges for the def.?

Thank you SOO much!!! Greatly appreciated!!!!

AK

Granada, Spain

**From:** Khan, Annie (DPH)  
**To:** "wbward13@verizon.net"  
**Cc:** briancoen@hotmail.com  
**Subject:** RE: RE: Just a note  
**Date:** Monday, December 13, 2010 1:42:00 PM

---

You guys are like a married couple. ☺

Yeah, the drug lab and food, there are never any leftovers. I saved you guys some tiramisu. . . if you come by before the end of the week it will be here.

Enjoy the rest of the day.

Annie

---

**From:** wbward13@verizon.net [mailto:wbward13@verizon.net]  
**Sent:** Monday, December 13, 2010 12:24 PM  
**To:** Khan, Annie (DPH)  
**Cc:** briancoen@hotmail.com  
**Subject:** Re: RE: Just a note

Annie,  
Unfortunately I won't be able to stop by on Monday I have evidence up to me ears and Brian is enjoying his day off taking a walk on Wollaston Beach. I will be there on Tuesday and maybe I could search the floor and find some crumbs. I hope you guys have a good day.

Thanks again for the invite.  
Billy

P.S. I hope you enjoyed the emails, both Brian and I very much enjoy fighting with each other. At the end of the day he is truly the best friend a guy could have.

Dec 13, 2010 06:40:15 AM, Annie.Khan@state.ma.us wrote:

Haha.

Hopefully, Billy comes by. Maybe he will bring you a piece.

Thx

Annie

---

**From:** BRIAN COEN [mailto:briancoen@hotmail.com]  
**Sent:** Sunday, December 12, 2010 8:19 PM  
**To:** annie khan; billy ward  
**Subject:** RE: Just a note

Annie,

Thanks for the kind words. Billy and I are still friends. Actually, I'm thinking of reconsidering my retirement from the evidence position, especially if there is cheesecake and desserts involved. Unfortunately I can't make it tomorrow but thanks for the invite. Hope to see you before the holidays. Talk with you soon. Billy, prepare everything and

I'll bring the evidence this week. :-)

Regards,

Brian

> From: Annie.Khan@state.ma.us  
> To: wbward13@verizon.net; briancoen@hotmail.com  
> Date: Sat, 11 Dec 2010 21:31:01 -0500  
> Subject: RE: RE: Just a note  
>  
> Hey Guys,  
>  
> Sorry, I was in court most of the day Thursday and Friday. (It sucked!!)  
>  
> I sense a little tension between you. Go have some drinks or lots of chocolate. haha  
>  
> Brian, I am sorry to hear that you have left the evidence officer's position. On behalf of myself and the evidence office staff (Betsy & Shirley), it has been a pleasure working with you. I wish you all the best. Feel free to drop by the Lab and say Hi.  
>  
> Billy, it is always nice to speak with you and I will see when you come by the Lab. I will still give you a hard time. We'll have some laughs.  
>  
> I hope you guys can drop by the Lab on Monday for some cheesecake/desserts.  
>  
> Happy Holidays & a Prosperous New Year!!  
>  
>  
> Annie  
>  
>  
> \_\_\_\_\_  
> From: wbward13@verizon.net [wbward13@verizon.net]  
> Sent: Friday, December 10, 2010 3:08 PM  
> To: briancoen@hotmail.com  
> Cc: Khan, Annie (DPH)  
> Subject: Re: RE: Just a note  
>  
> Annie,  
>  
> Brian is off his Meds. he has been drooling on himself all day and is having a hard time speaking today. I told his mother I would keep an eye on him but it has not been easy. Please pray for Brian.  
>  
>  
> Dec 10, 2010 01:36:22 PM, briancoen@hotmail.com wrote:  
> Annie,  
>  
> I'm sorry Billy is so upset. I'm not going to use harsh words towards him and I'm sorry you have been put in the middle. Sometimes when Billy doesn't take his medication he gets a little....well lets just say sensitive. Go easy on him when he is at the lab. If you come across some extra pink or blue tablets please offer them to Billy. Billy, it has been a wonderful experience working the evidence with you. You have come a long way and I'm proud of you even if your Mom isn't. Merry Christmas!  
>  
> Regards,  
>  
> Brian  
> \_\_\_\_\_  
>



>  
>  
>  
>  
>  
>  
>  
>  
> Annie,  
>  
> Just to clarify some of Brian's points. I was a police officer when little Brian was still in high school trying to kiss his first girlfriend. I have more time at lunch than Brian has on the job. There is no "I" in team but there sure is in Brian. Lately he has been a complaining little bitch. I am looking for a replacement. I don't expect much because Brian did so little even if the new person is a complete lazy idiot he or she will be an upgrade.  
>  
>  
>  
> Dec 10, 2010 07:30:15 AM, briancoen@hotmail.com wrote:  
> Annie,  
>  
> I think I could make a final appearance on the 13th. Billy forgets that I have encouraged him and have provided emotional support for him when he starts to cry and complain about all the evidence he must process. Annie, have you ever felt unappreciated? After all these years this is what I get. Billy, you must realize you are the junior man, the guy with the least seniority, the rookie! Suck it up, do your job and stop complaining. Annie, we may be looking to replace a drug unit member with someone with a little more tenacity. Interested?  
>  
> Happy Holidays,  
>  
> Brian  
>  
>  
> \_\_\_\_\_  
> Date: Thu, 9 Dec 2010 14:47:21 -0600  
> From: wbward13@verizon.net  
> To: Annie.Khan@state.ma.us; briancoen@hotmail.com  
> Subject: Re: Just a note  
>  
> Annie,  
> Thanks for the invite I would love to stop by. Unfortunately Brian has QUIT the assistant evidence officer position due to the fact that he has not touched a piece of evidence for the last six months. Its probably better that he quit because I was just about to fire his ASS!!  
>  
> Thanks Again,  
> Billy  
>  
>  
> Dec 7, 2010 07:38:08 PM, Annie.Khan@state.ma.us wrote:  
> Hey,  
>  
> If you and Brian are planning on coming to the Lab, I would recommend both of you coming on Monday Dec 13th. The drug lab is having its annual holiday party. I owe you guys Tiramisu cheesecake, as an appreciation.  
>  
> PS: You can go to the gym afterward. Haha  
>  
>  
> Annie  
> Drug Analysis Lab

**From:** Devlin, Patrick K (SUF)  
**To:** Khan, Annie (DPH); Feiden, Stacey (DPH); Medina, Nicole (DPH); Renczkowski, Daniel (DPH)  
**Subject:** [REDACTED]  
**Date:** Tuesday, February 08, 2011 3:42:19 PM

---

Hey Guys,

bad news -- I have been trying extremely hard to plea this case out -- it's a VERY solid case for us but Attorney Neil Madden hasn't been doing a good job conveying that to his client. We are offering 4 years and the Defendant would get a mandatory 12 if he is found guilty. ridiculous.

As of now I'm going to need you guys next wednesday on an on call basis -- I anticipate calling you either Thursday or Friday. I will know much better on Tuesday/ Wednesday.

Sorry again!!!!

Patrick (cell 781-632-8995)

Patrick K. Devlin  
Assistant District Attorney  
Suffolk County District Attorney's Office  
One Bulfinch Place, Suite 300  
Boston, MA 02114  
617-619-4296  
617-619-4323(f)

**From:** Hill, Farah (NFK)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED], Docket No. [REDACTED]  
**Date:** Friday, February 11, 2011 8:26:58 AM

---

Haha! My thoughts exactly!

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Wednesday, February 09, 2011 8:51 PM  
**To:** Hill, Farah (NFK)  
**Subject:** RE: [REDACTED], Docket No. [REDACTED]

Defaulted . . . He must be in the Dominican republic on the beach with my other default defendants.

Let me know if you need anything in the future.

Annie

---

**From:** Hill, Farah (NFK)  
**Sent:** Wednesday, February 09, 2011 4:37 PM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED], Docket No. [REDACTED]

Just got out of court! Sorry...the defendant didn't even show up! Figures! I will let you know if he comes in and is placed back on the trial list...thanks for being on-call.  
Farah

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Tuesday, February 08, 2011 6:50 PM  
**To:** Hill, Farah (NFK)  
**Subject:** RE: [REDACTED], Docket No. [REDACTED]

It's been a while.

Thanks for the info. As for my schedule, I will be in Middlesex Superior around noon, but my testimony should be quick. I am suppose to head to Fall River Superior for 2 PM, but I am trying to see if they can get me on Thursday AM instead.

For now put me On Call, and I will update you in the AM. We usually ask for an hour lead time. If needed and I can not make it tomorrow, can you get me on Thursday?

My cell# 781-367-4152, call or text me if you need anything.

Annie

---

**From:** Hill, Farah (NFK)  
**Sent:** Tuesday, February 08, 2011 4:08 PM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED], Docket No. [REDACTED]

Hi Annie,  
I am new to this court...just looked at the file and it is scheduled for Bench Trial. What does your day look like? Can you be on-call? How long would it take for you to get down here if we needed you?  
Thanks,

Farah

---

From: Khan, Annie (DPH)  
Sent: Tuesday, February 08, 2011 2:03 PM  
To: Powers, Kevin (NFK)  
Cc: Hill, Farah (NFK)  
Subject: RE: [REDACTED], Docket No. [REDACTED]

Out of curiosity, I have a summons for [REDACTED] (Stoughton District) for 2/9.

Would you happen to know the status of this case? And the Lab #/s for this case.

Greatly appreciate any help.

Annie

---

From: Powers, Kevin (NFK)  
Sent: Tuesday, February 08, 2011 1:52 PM  
To: Khan, Annie (DPH)  
Cc: Hill, Farah (NFK)  
Subject: RE: [REDACTED], Docket No. [REDACTED]

That should be great--thank you!

---

From: Khan, Annie (DPH)  
Sent: Tuesday, February 08, 2011 1:48 PM  
To: Powers, Kevin (NFK)  
Cc: Hill, Farah (NFK)  
Subject: RE: [REDACTED], Docket No. [REDACTED] Hi,

I will send the discovery packet for the above case by next week. If you need it sooner, let me know.

Thanks.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

From: Powers, Kevin (NFK)  
Sent: Tuesday, February 08, 2011 1:46 PM  
To: Khan, Annie (DPH); Renczkowski, Daniel (DPH)  
Subject: [REDACTED], Docket No. [REDACTED]

Mr. Renczkowski and Ms. Dookhan:

I am an Assistant District Attorney working on [REDACTED], Docket No. [REDACTED]. Our office is in receipt of your drug cert for this matter, which is numbered B10-07948.

Please kindly send your drug analysis notes to the following address at your earliest convenience:

ADA Farrah Hill  
Norfolk District Attorney's Office  
Stoughton District Court  
1288 Central Street  
Stoughton, MA 02072

Thank you very much for your assistance in this matter.

**From:** Khan, Annie (DPH)  
**To:** Callahan, Allison (SUF)  
**Subject:** RE:  
**Date:** Thursday, February 24, 2011 1:07:00 PM

---

Unfortunately, yes.

I had a case with Lauren Greene/Brendan Murphy in regards to re-weighing for 2005 case.

**Reweighing Process:**

It is a simple process, once the sample is back at the lab. Have the Boston DCU bring the sample back to the lab with a copy of the motion for independent weighing or a letter that states that an independent chemist will be coming to re-weigh the samples. The sample will be assigned a Lab # with the letter R for resubmittal.

At anytime, the defense chemist can contact the custodial chemist at the lab (617-983-6622) and they can schedule a date and time. Both the independent chemist and the custodial chemist will conduct the re-weighing of the sample (just to maintain the integrity of the sample).

I have an ongoing case with Greg Henning that is asking for independent testing. Unfortunately, there aren't a lot of Labs or chemists in Mass that do independent weighing. We are having problems with d/c because we have to maintain chain of custody.

Retesting by independent chemist issues: (retesting at the lab, try to avoid and can be address to the Lab Supervisor, Chuck)

Who will be obtaining the sample? We do not want to be responsible for removing any sample and shipping it to the NJ Lab. Because defense counsel can always use that against us due the small amount of sample.

Usually the independent chemist (with the proper docs) would open the sample in the presence of the custodial chemist and obtain the necessary amount. Then the sample is seal by the custodial chemist and return to the DCU.

The only suggestions I have:

- (1) for d/c to provide transportation for the independent chemist to come to Boston and obtain the sample or
- (2) have one of our local independent chemists come to the lab and obtain the sample and then mail it to NMS Labs.

Therefore all responsibility falls on d/c and it will cost more money. Haha

Not sure if this helps.

Annie

---

**From:** Callahan, Allison (SUF)  
**Sent:** Thursday, February 24, 2011 12:48 PM  
**To:** Khan, Annie (DPH)  
**Subject:**

Annie,

Have you had a lot of attorneys asking that drugs be retested as a result of Melendez-Diaz retrials? I have an attorney who I think is going to ask that the drugs be reweighed and retested. Thanks.

Allison

**From:** Donovan, Mark (BRI)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]  
**Date:** Tuesday, March 01, 2011 1:54:40 PM

---

Just curious.  
Why do you want us to summons both chemist?  
Do we only need one for trial?

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Monday, February 28, 2011 9:25 PM  
**To:** Donovan, Mark (BRI)  
**Subject:** [REDACTED]

No worries.

We are more than willing to provide discovery packets to the ADAs as long as it will help in getting a plea or stipulation.

We are trying to persuade the ADAs from each county to always summons both chemists for their case. This will help us maintain an open line of communication within the Drug Lab and the attorneys.

If you need anything in the future, please feel free to contact me.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

**From:** Donovan, Mark (BRI)  
**Sent:** Monday, February 28, 2011 2:06 PM  
**To:** Khan, Annie (DPH)  
**Subject:** [REDACTED]

Thank you Annie.

I will discourage defendants from requesting documents other than the drug cert. in the future.  
Thank you again,  
Mark

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Saturday, February 26, 2011 4:27 PM  
**To:** Donovan, Mark (BRI)  
**Subject:** FW: [REDACTED]

Hi,

Please see attachment for the discovery packet.

Let me know if you need anything else.

Thanks

Annie  
Drug Analysis Lab  
617-983-6631 (work)

**From:** Zuanich, Brian (BRI)  
**To:** Khan, Annie (DPH)  
**Subject:** [REDACTED] (drug case)  
**Date:** Thursday, March 03, 2011 2:40:07 PM

---

Annie,

I am prosecuting a gun and drug case in Fall River District Court that is scheduled for trial on March 17. The defendant is held in custody on a dangerousness hearing and the case is three months old.

I sent a priority cert request by fax (to the 617-983-6210 number) for the drugs but I wanted to email you as well. Could you possibly help facilitate the testing? I know you probably get a lot of these requests. If I can't get the case tried by the 17th, technically, the court could release the defendant on bail. That's why I'm asking, so I can summons the appropriate chemist!

The Lab Numbers are B11-50009, 50010, 50011, and 50012.

Thanks!  
Brian Zuanich

Brian Zuanich  
Assistant District Attorney  
Bristol County District Attorney's Office  
218 South Main Street, Suite 101  
Fall River, MA 02721  
Tel: (508) 350-7057 (direct)  
Fax: (508) 673-1429

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Tuesday, April 27, 2010 6:27 PM  
To: Zuanich, Brian (BRI)  
Subject: RE: [REDACTED] (drug case) (jury trial: Thursday, April 29)

Hi Brian,

I did receive the summons for this case. On Call is fine with me. I am needed in Suffolk Superior at 9 AM for a Trafficking case, which starts tomorrow. I should be back at the Lab by 11:00am. Hopefully, this helps.

Thanks.

04/26/2010



Suffolk Superior (ADA Greg Henning) – stipulate  
Brockton Superior (ADA Shelby Smith)- cont  
Middlesex Superior (ADA Kevin Curtin) -cont  
Middlesex Superior (ADA Sean Casey)  
Middlesex Superior (ADA Jim Mulcahy)  
Essex Superior (ADA Marcia Slingerland)- cont  
BMC (ADA Vince DeMore)- cont  
BMC (ADA Vince DeMore) - cont  
Cambridge District (ADA Megan Williams)  
Brockton District (ADA Mike Sheehan) - cont  
Lawrence District (ADA Greg Johnson)  
Lowell District (ADA Daniel Harren)-cont

04/27/2010

Norfolk Superior (ADA George Papachristos)  
West Roxbury District (ADA Chris Meade)-cont  
Lawrence District (ADA Michelle Defeo) - plea

04/28/2010

Suffolk Superior (ADA Dana Peirce) – testify 4/29  
Roxbury District (ADA Rebecca Chernin)

04/29/2010

Middlesex Superior (ADA Jen Snook) -plea  
New Bedford District (ADA Matt Sylvia)  
West Roxbury District (ADA Samantha Kingsbury)  
Marlborough District (ADA Elissa Torto) - cont  
Malden District (ADA Ben Ostrander)-cont  
Lynn District (ADA Susan Dolhun)

04/30/2010

BMC (ADA Jen O'Keeffe)

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

From: Zuanich, Brian (BRI)  
Sent: Tuesday, April 27, 2010 6:03 PM  
To: Khan, Annie (DPH)  
Subject: [REDACTED] (drug case) (jury trial: Thursday, April 29)

Annie,

I am prosecuting a drug case in New Bedford District Court this Thursday for which I mailed you a summons. I just wanted to double-check the lab had received it and, if so, whether you would be able to be on call.

Let me know if you have any questions. I will be out of the office tomorrow (Wednesday) but you can always leave a message with the office.

Thanks,  
Brian

Brian Zuanich  
Assistant District Attorney  
Bristol County District Attorney's Office  
888 Purchase Street  
New Bedford, MA 02740  
Tel: (508) 961-1978  
Fax: (508) 991-7641

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Sunday, April 11, 2010 8:51 AM  
To: Slingerland, Marcia (EAS); Barnes, Brendan (PLY); Young, Christian (SUF); Cronin, John (NOR); Seed, John (SUF); Golding, Heather (SUF); Groff, Michelle (CPI); Hyde, Barrett (SUF); Zuanich, Brian (BRI); Sahrbeck, Jonathan (NOR)  
Subject: Drug Lab: Court Schedule 04/12/2010



Hi Everyone,

I have received summons from each of you and I am just trying to get a status update on my cases for next week. I will try my best to accommodate.

If you have any questions, please do not hesitate to contact me. Thank you for your cooperation and patience.

Have a good weekend.

SEE ATTACHMENT FOR COURT SCHEDULE.

Annie

Drug Analysis Lab

617-983-6631 (work)

617-983-6625 (fax)

**From:** [Payton, Debra \(NEK\)](#)  
**To:** [Saunders, Della \(DPH\)](#); [Khan, Annie \(DPH\)](#)  
**Subject:** trial summons [REDACTED] B09-13180, B09-13179, B09-13181  
**Date:** Friday, March 04, 2011 12:19:26 PM  
**Attachments:** [trial summons Chemist Annie Khan.doc](#)  
[trial summons Chemist Della Saunders.doc](#)

---

DREAM TEAM!!!!!!

It is time to kick some more buttocks!!!!

I am beginning a trial on April 12, 2011. Your testimony will be needed on April 14, 2011 or April 15, 2011. Please let me know if you can squeeze me in. I DONT NEED PREDICATE QUESTIONS!!!!!!!!!! YOU LADIES ROCK!!!

Let me know!!

THANK YOU!!  
Debi Payton

**From:** Payton, Debra (NFK)  
**To:** Renczkowski, Daniel (DPH); Khan, Annie (DPH)  
**Subject:** RE: [REDACTED] B09-11093 and B09-11094  
**Date:** Thursday, March 10, 2011 2:11:34 PM

---

Good grief....The above case is scheduled to begin Monday May 16, 2011. I am desperately playing catch up and I cannot remember if I sent you two darlings summons....So I am about to send them again. Any chance you could fit me in the week of the 16th, say the 19th or 20th?

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

---

**From:** Renczkowski, Daniel (DPH)  
**Sent:** Thursday, September 23, 2010 7:43 AM  
**To:** Payton, Debra (NFK)  
**Subject:** RE: [REDACTED] B09-11093 and B09-11094

Hi Debi. That is shocking. I am so surprised that the defense is playing games. That never happens. I unfortunately do not have any vacations scheduled in the upcoming months. However, I will be out of the lab October 8th, 21st, and 29th and will be unavailable to testify on those specific days. Otherwise, my schedule is wide open. Hope that helps.

Daniel Renczkowski  
Forensic Drug Laboratory  
William A Hinton State Laboratory Institute  
Massachusetts Department of Public Health  
305 South Street Boston, MA 02130  
voice 617-983-6630 fax 617-983-6625  
[daniel.renczkowski@state.ma.us](mailto:daniel.renczkowski@state.ma.us)

---

**From:** Payton, Debra (NFK)  
**Sent:** Wednesday, September 22, 2010 4:45 PM  
**To:** Renczkowski, Daniel (DPH); Khan, Annie (DPH)  
**Subject:** CW v. [REDACTED] B09-11093 and B09-11094

Darling Chemists:

This is the trial scheduled to begin at Norfolk Superior October 4th 2010. This past Monday, the defendant (shockingly) filed last minute notifications of defense experts. I wrote motions in limine to exclude the witnesses. Judge Sanders ruled that the defendant must move for a continuance if he intends to provide me with MANDATORY discovery pertaining to his "experts". If he does not plan on calling his "experts" we will begin trial on 10/4. I am scheduled to be in front of Judge Sanders on the 27th at 2pm to address this issue.

If the trial gets continued I will let you know ASAP. Could you let me know what (if any) weeks you will be away or on vacation incase I have to reschedule the trial. (YOU BOTH NEED A VACATION....and please TAKE ME!!!)

THANK YOU,  
Payton

p.s. FYI....the defense experts include a medical doctor to claim that the defendant is drug dependant and also a crash reconstruction expert. He is NOT challenging your work.

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

---

**From:** Payton, Debra (NFK)  
**Sent:** Wednesday, July 21, 2010 4:03 PM  
**To:** O'Brien, Elisabeth (DPH)  
**Cc:** Renczkowski, Daniel (DPH); Khan, Annie (DPH)  
**Subject:** summons TRIAL chemists Dookhan.doc

Dear Ms. O'Brien:

██████████ is scheduled to begin trial on October 4, 2010. The lab numbers are B09-11093 and B09-11094. Chemist testimony will be necessary later in the week. Could you please let me know how your calendar is looking for the week of October 4, 2010.

In addition, may I please have the drug packets for B09-11093 and B09-11094.

My office address is Debi Payton, Norfolk County District Attorney's Office, 45 Shawmut Road, Canton, MA 02021.

One of my favorite police officers was injured as a result of this drug dealers attempted escape, so I wan't to make extra sure all my ducks are quacking.

THANK YOU!!!!  
Debi Payton  
781-858-3118

**From:** Payton, Debra (NFK)  
**To:** Renczkowski, Daniel (DPH); Khan, Annie (DPH)  
**Subject:** summons TRIAL chemists Renczkowski.doc  
**Date:** Thursday, March 10, 2011 2:36:49 PM  
**Attachments:** summons TRIAL chemists Dookhan.doc  
summons TRIAL chemists Renczkowski.doc

---

OH KIDS:

This jack @ss has until March 28th 2011 to change his plea. Otherwise, he can go meet [REDACTED] in prison following our last guilty verdict (Annie and Della). Det. Billy Ward (my favorite detective) was out of work injured because of this incident for over a month...so I have a personal vendetta against him!

I'll keep you posted!!!!

**From:** Ribeiro, Frank (PLY)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]  
**Date:** Tuesday, March 22, 2011 10:33:08 AM

---

If defense counsel know the chemists are available 9 out of 10 times it will be a plea. Judge's appear to be on our side and kind of hint at defense counsel that if they require the chemists to come in it may be a heavier sentence for defendants. Let me know when I can bug you for a few minutes on the phone.

Frank

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Tuesday, March 22, 2011 10:28 AM  
**To:** Ribeiro, Frank (PLY)  
**Subject:** RE: [REDACTED]

Yep . . But I would prefer both to plea or stipulate. :)

Annie

-----Original Message-----

**From:** Ribeiro, Frank (PLY)  
**Sent:** Tuesday, March 22, 2011 10:21 AM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]

Thanks Annie. You're the best. Can I call you on that and another case? I know you've answered the same question before regarding you testifying to Stacey's initial testing.

Frank Ribeiro

-----Original Message-----

**From:** Khan, Annie (DPH)  
**Sent:** Tuesday, March 22, 2011 10:18 AM  
**To:** Ribeiro, Frank (PLY)  
**Subject:** FW: [REDACTED]

Hi,

Please see attachment for the discovery packet.

Let me know if you need anything else.

Thanks.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

**From:** Griffith, Sean (NOR)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED] - canceled  
**Date:** Monday, March 28, 2011 8:34:43 AM

---

Haha. Sounds about right.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Saturday, March 26, 2011 2:17 PM  
To: Griffith, Sean (NOR)  
Subject: RE: [REDACTED] - canceled

Thanks for the heads up . . . Tell the defendant, he is getting an extra 5 years for p-off the chemist. :)

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

-----Original Message-----

From: Griffith, Sean (NOR)  
Sent: Friday, March 25, 2011 4:54 PM  
To: Khan, Annie (DPH)  
Subject: [REDACTED] - canceled

Hey Annie – this case is cursed. It got bumped to April 25th. I'll send out summons Monday. Classic. Hope you have a nice weekend. - Sean

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Thursday, March 24, 2011 8:28 PM  
To: Griffith, Sean (NOR)  
Subject: RE: Drug Lab: Court Schedule

I testified for Dave Solet and Jim Mulcahy a couple of times. They may be able to help as well.

I am also a confirmatory chemist. I can state that confirmatory testing is reviewable data and anyone trained in GC/MS can review and interpret the data.

I have attached a set of predicate questions with my answers that we created enlight of Melendez-Diaz. It may help or not. I will review your questions over the weekend and get back to you.

Definitely, keep the expert testimony section, it will build credibility. I would stay away from questions regarding accreditation, and publications.

Thanks

Annie

---

From: Griffith, Sean (NOR)  
Sent: Thursday, March 24, 2011 4:37 PM  
To: Khan, Annie (DPH)  
Subject: RE: Drug Lab: Court Schedule

Hey Annie. We're still on for Monday AM. Because Kate is out... do you mind reviewing her notes so

you can testify to her findings and form your own opinion based on her results? If the judge doesn't let us do that... you can instead testify to what the chemists in the lab do for routine samples. I'll see if I can forward you some predicate questions to look over beforehand. Thanks!! - Sean

---

From: Khan, Annie (DPH)  
Sent: Monday, March 21, 2011 12:38 PM  
To: Griffith, Sean (NOR)  
Subject: RE: Drug Lab: Court Schedule

Monday AM works with me. No worries, we can figure it out.

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

---

From: Griffith, Sean (NOR)  
Sent: Monday, March 21, 2011 11:41 AM  
To: Khan, Annie (DPH)  
Subject: RE: Drug Lab: Court Schedule

Hi Annie – DC says it's a trial as of now for [REDACTED] 3/25. Assuming he doesn't take a plea in the last second... I could probably call you to testify 3/28 or 3/29. Does one work better for you? Thanks! - Sean

---

From: Khan, Annie (DPH)  
Sent: Saturday, March 19, 2011 4:19 PM  
To: Lord, Spencer (SUF); Stancato, Sarah (SUF); Zuanich, Brian (BRI); McCray, Keith (NFK); Sheehan, Michael (EAS); O'Keeffe, Jennifer (SUF); Kenny, Timothy (PLY); Evans, Anna (NOR); Pearson, Mark (NFK); Adeduntan, Rilwan (SUF); Sherwood, Gretchen (SUF); Cox, Brendan (SUF); Laine, Esther (SUF); Griffith, Sean (NOR)  
Subject: Drug Lab: Court Schedule

Hi Everyone,

I have received summons from each of you and I am checking the status of your cases for next week. I will try my best to accommodate.  
If you have any questions, please do not hesitate to contact me. Thank you for your cooperation and patience.

Have a nice weekend.

03/21/2011 (Please note: I will need to be out of court by 3:00pm due prior commitments, but with sufficient notice I can adjust my schedule)

03/22/2011

03/23/2011

BMC (ADA Spencer Lord)  
BMC (Sarah Stancato)  
Plymouth District  
Fall River District (ADA Brian Zuanich)  
Falmouth District (ADA Joe Kennedy)

Norfolk Superior (ADA Keith McCray)  
Salem Superior (ADA Mike Sheehan)

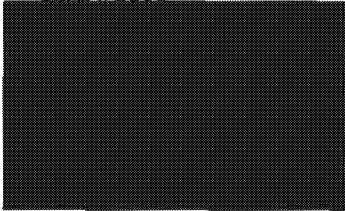
BMC (ADA Jen O'Keeffe)  
Hingham District





Brockton District (ADA Tim Kenny)  
Malden District (ADA Anna Evans)

03/24/2011



Quincy District (ADA Mark Pearson)  
Dorchester District (ADA Rilwan Adeduntan)  
Dorchester District (ADA Gretchen Sherwood)  
Dorchester District (ADA Brendan Cox)  
BMC (ADA Spencer Lord)  
Roxbury District  
Roxbury District (ADA Esther Laine)

03/25/2011



Middlesex Superior (ADA Sean Griffith)  
Plymouth District

Annie  
Drug Analysis Lab  
617-983-6631 (work)  
617-983-6625 (fax)

**From:** Khan, Annie (DPH)  
**To:** Kowalski, Craig (NFK)  
**Subject:** RE: Predicate questions with answers  
**Date:** Friday, April 22, 2011 1:43:00 PM

---

Haha. What kind of class is "Dynamic Earth"? Just Kidding

Chemistry is fun . .we get to make things explode. Esp. with Drug lab . . we got the good stuff.

12b. 100+ times and Courts: Federal- Boston & Worcester; Essex, Norfolk, Suffolk, Plymouth, Middlesex, Bristol & Barnstable Superior; various District courts.

Keep me posted.

Annie

-----Original Message-----

From: Kowalski, Craig (NFK)  
Sent: Friday, April 22, 2011 1:13 PM  
To: Khan, Annie (DPH)  
Subject: RE: Predicate questions with answers

Good changes.

I added a 12a and 12b:

12) Approximately how many times have you had occasion to test for a controlled substance? 10s of thousands

12a) Have you testified in court before regarding analyses you have conducted? Yes.

12b) How many times and in what courts?

I don't know your answer to 12b, but I'm assuming it's good.

As for using the second chemist, as a layperson it seems like everything is covered in your testimony (or at least enough for the certifications to come in and to prove that the substances are coke, heroin and OC). I'll play it by ear. If the defense atty for some reason knows what he's doing (but I don't think he does) and makes things difficult I'll call Dan and ask Dan what he did.

Thanks again for all your help. Scientific things are not my strong suit. I took "Dynamic Earth" in college to fulfill my science requirements rather than chemistry, physics or biology.

Craig

Craig F. Kowalski  
Assistant District Attorney  
Norfolk District Attorney's Office  
45 Shawmut Road  
Canton, MA 02021  
(781) 830-4800, extension 282

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Friday, April 22, 2011 12:14 PM  
To: Kowalski, Craig (NFK)  
Subject: RE: Predicate questions with answers

Welcome. Bad habit of writing in red when I do corrective action on chemist's work for QC/QA.

See attachment for an updated version of the predicate questions: I change the wording of question # 35 and eliminated what was question # 37. I edited these to avoid potential problems from the d/c.

Dan was the confirmatory chemist. His role was to compare the unknown sample to a known standard. We perform confirmatory test because we require reviewable data. I can state that because I am trained in GC/MS (confirmatory test), I can review the documents form my opinion to those findings. It has worked in my previous cases.

We leave that decision up to the ADA, if d/c and the judge has no objections, I can testify to everything. You call the shots. I would suggest to have me testify to everything and see how it goes. But I will still bring Dan just incase. Worst case, he is not needed and I buy him donuts. Haha.

Have a nice weekend as well.

Annie

-----Original Message-----

From: Kowalski, Craig (NFK)  
Sent: Friday, April 22, 2011 9:00 AM  
To: Khan, Annie (DPH)  
Subject: RE: Predicate questions with answers

Annie,

Well! Thank you, thank you, thank you! I wish every witness would do the same and send me back their answers in red.

After reading through that, do I really need Dan? Can you explain to me his role?

Have a great weekend and see you next week. I'll contact you after I get started on Tuesday to confirm the Thursday at 9 time.

Best, Craig

Craig F. Kowalski  
Assistant District Attorney  
Norfolk District Attorney's Office  
45 Shawmut Road  
Canton, MA 02021  
(781) 830-4800, extension 282

The preceding email message (including any attachments) contains information that may be confidential, may be protected by the attorney-client or other applicable privileges, or may constitute non-public information. It is intended to be conveyed only to the designated recipient(s) named above. If you are not an intended recipient of this message, please notify the sender by replying to this message and then delete all copies of it from your computer system. Any use, dissemination, distribution, or reproduction of this message by unintended recipients is not authorized and may be unlawful.

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Thursday, April 21, 2011 10:49 PM  
To: Kowalski, Craig (NFK)  
Subject: Predicate questions with answers

See attachment for the predicate question with my answers.

Avoid questions that deal with: accreditation, publications and external training.

Additional questions that may help build creditability(at least in my experience):

Have you ever testified before?

If so, approximately how many times and which courts?

Hope this helps. Let me know if I need to clarify or expand on any particular topics.

PS: Debi and George knows how to find me.

Annie

**From:** Khan, Annie (DPH)  
**To:** Finigan, Thomas (NFK)  
**Subject:** RE: Question  
**Date:** Tuesday, August 09, 2011 7:01:00 AM

---

Thanks Tom. Much appreciated.

The Feds resubmitted a couple of samples to me to be re-analyzed b/c the other chemists were no longer available. Judge Wolf had no issues with me testifying since I had completed the other 6 samples related to the case.

Suffolk is trying to avoid re-submitting samples to us, so a lot of those cases are being continued. Like Norfolk, Cape & Islands, Essex and Plymouth have motions to allow substitute chemist. Bristol and Middlesex have had no concerns, yet!!

Spoke with the AG, my interpretation is that we can offer a substitute chemist as long as all the documentation and analysis of the sample/s is reviewed by qualified chemist. Then that reviewer can testify, if needed.

Unfortunately, there are only 3 chemists (Chief of lab, MS Supervisor and myself) that have knowledge on how to perform all analysis for any potential narcotic. My goal is to finish the writing the criteria for the comprehensive review and the protocols from chain of custody to all drug testing done in the lab. And eventually train the entire lab on these procedures.

I have to submit some protocols and entire comprehensive review guidelines to the AG at the end of the month. I'll keep you posted.

Annie

---

**From:** Finigan, Thomas (NFK)  
**Sent:** Monday, August 08, 2011 4:57 PM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: Question

Annie, I've checked around—it looks like we have not yet had to resort to calling a substitute chemist. We have a standard motion seeking the court's approval to allow it, but it hasn't been put to the test! How have other counties made out?

---

**From:** Khan, Annie (DPH)  
**Sent:** Friday, July 29, 2011 1:55 PM  
**To:** Finigan, Thomas (NFK)  
**Subject:** Question

Hi Tom,

Sorry to bother you. But I have a question in regards to the Bullcoming Decision for the US Supreme Court.

I have a meeting with AG's office next month to discuss my stand point on the Bullcoming Decision and what are my recommendations/solutions to address this matter.

I am currently in the process of writing the protocols for the Chemical Terrorism and Drug Analysis Lab due to the Bullcoming Decision. I have been contacted by a few of your colleagues in other Superior courts on how to address the issue of substitute chemist. I was curious if you or your colleagues at Norfolk have been impacted by this decision, yet?

Thanks to Mr. Melendez-Diaz and Mr. Bullcoming, they have made life a little more difficult for all of us.

Any help or suggestion would be much appreciated. Have a nice weekend.

Thanks.

Annie

Chemical Terrorism Lab

Drug Analysis Lab

617-983-6622 (work)

617-983-6625 (fax)

781-367-4152 (cell)

**From:** Finigan, Thomas (NFK)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]  
**Date:** Friday, September 02, 2011 9:53:46 AM

---

Hi Annie! Witnesses "belong" to neither side, so you are free to meet with him. Of course, you are not obligated to, and given the demands on your schedule, it would seem reasonable to save your testimony for the stand! (I understand he has engaged his own expert in this case). Does that make sense?.

---

**From:** Khan, Annie (DPH)  
**Sent:** Thursday, September 01, 2011 8:40 AM  
**To:** Finigan, Thomas (NFK)  
**Subject:** FW: [REDACTED]

Hi Tom,

I received this email in regards to a case with you. (see below)

I just wanted to know if it was OK with you to respond to his email/request. (I will CC you in my response.)

Let me know.

Annie

Sent from iPhone

---

**From:** Asha White [mailto:azwlaw@gmail.com]  
**Sent:** Tuesday, August 30, 2011 8:13 PM  
**To:** Khan, Annie (DPH)  
**Subject:** [REDACTED]

Hi, my name is Asha White and I represent a defendant named [REDACTED] in Norfolk Superior Court. According to the discovery I have received from the commonwealth, you were the chemist that tested the substances that form the basis of the complaint against [REDACTED] (I attached two documents so you can track down the case I am speaking of). I am writing to see if there is any possibility that I could have a meeting with you in order to be better prepared for the upcoming trial. The weights and results of the testing of the substances are a very important issue in this case, so I was hoping I could speak with you in order to familiarize myself with the process. Please email or call me at your earliest convenience.

--

Asha White

The Law Office of Asha Z. White  
875 Massachusetts Ave.  
Cambridge, MA. 02139  
Phone: 857-492-1540  
Fax: 857-241-3093  
Email: [azwlaw@gmail.com](mailto:azwlaw@gmail.com)

**From:** Khan, Annie (DPH)  
**To:** Weiner, Caleb (BRI)  
**Cc:** Piro, Peter (DPH)  
**Subject:** RE: [REDACTED] rpt. [REDACTED]  
**Date:** Friday, September 30, 2011 12:22:00 PM

---

Hi,

I have a few other cases that week, but we can coordinate as the date approaches.

Thanks  
Annie

---

**From:** Weiner, Caleb (BRI)  
**Sent:** Thursday, September 29, 2011 6:11 PM  
**To:** paul.oliveira@newbedfordpd.com  
**Cc:** 'evan.bielski@newbedfordpd.com'; 'troy.spirlet@newbedfordpd.com'; 'justin.kagan@newbedfordpd.com'; kelly.almeida@newbedfordpd.com; Sylva, John (POL); 'daniel.amaral@newbedfordpd.com'; 'victor.mendes@newbedfordpd.com'; 'stanley.chabarek@newbedfordpd.com'; Khan, Annie (DPH); Piro, Peter (DPH)  
**Subject:** [REDACTED] rpt. [REDACTED]

All:

This trial has been moved to November 2, 2011. As you can see, there are a lot of witnesses needed to prove the case. It is going to be a trial – the Defendant was made a very advantageous offer and he turned it down. Given the complexity of the case in terms of the number of witnesses, and given that I do not want any of you to have to wait around to testify – please confirm that you are available on November 2 and/or November 3 at your earliest convenience. If an essential witness is unavailable, I want to move the case as soon as possible. Moving it again from 11.2.11 is not my preference, but I will work with you to coordinate schedules.

You can reach me here or on my cell, 978 494 2918.

Thank you,

Caleb Weiner, ADA

Caleb Weiner  
Assistant District Attorney  
Bristol County District Attorney's Office  
888 Purchase Street  
Fourth Floor  
New Bedford, Massachusetts 02740  
Phone: (508) 997-0711 x1958  
Fax: (508) 991-7641



**From:** Khan, Annie (DPH)  
**To:** Maguire, Peter (PLY)  
**Subject:** RE: [REDACTED]  
**Date:** Tuesday, October 04, 2011 3:20:00 PM

---

Story of our lives . . .

Tell him it will be and extra 10 years, if I have to drive to Brockton and he stipulates. Haha

Keep me posted.

Annie

---

**From:** Maguire, Peter (PLY)  
**Sent:** Tuesday, October 04, 2011 3:18 PM  
**To:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]

Won't be a prob. My bet... you all show and the defense stipulates. But b/c they are the defense they won't stipulate until you show...

Great business we all work in huh?

---

**From:** Khan, Annie (DPH)  
**Sent:** Tuesday, October 04, 2011 3:14 PM  
**To:** Maguire, Peter (PLY)  
**Subject:** RE: [REDACTED]

Hey,

Both Dannie and I have summons for this case. I am scheduled to be in Middlesex Superior in the AM Thursday.

Annie  
Drug Analysis Lab  
617-983-6622 (work)  
617-983-6625 (fax)

---

**From:** Maguire, Peter (PLY)  
**Sent:** Tuesday, October 04, 2011 2:52 PM  
**To:** Khan, Annie (DPH)  
**Subject:** [REDACTED]

Hi Annie,

Just making sure you got the summons for [REDACTED] for tomorrow at Brockton Superior? I summonsed Daniela Fresca as well.

--Peter Maguire  
508 894 2527

**From:** [Khan, Annie \(DPH\)](#)  
**To:** [Callahan, Allison \(SUF\)](#)  
**Subject:** Pictures from Bucci's Farewell Party  
**Date:** Friday, October 21, 2011 5:16:58 PM

---

Allison,

Sorry to bother you.

By any chance, do you have the pictures from Bucci's farewell party? If so, could you forward them to me.

Thanks. Have a nice weekend.

Annie  
Drug Analysis Lab  
617-983-6622 (work)  
617-983-6625 (fax)

**From:** Callahan, Allison (SUF)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: Expedited Certs  
**Date:** Friday, October 28, 2011 9:32:48 AM

---

Good morning Annie,

Just checking in about a case involving [REDACTED] for which I faxed over an expedited cert request. The grand jury that heard the evidence is finishing testimony next week and the case is about four months old (I faxed the request last week as it hadn't been done earlier. Is there a way to tell how long the analysis will take? I really just need the weight of the pills. The analysis numbers are B11-08166 through B11-08171. Thank you!  
Allison

-----Original Message-----

From: Khan, Annie (DPH)  
Sent: Friday, October 07, 2011 10:04 PM  
To: Callahan, Allison (SUF)  
Subject: RE: Expedited Certs

We do not have a formal request form for expedited samples. You can just fax over a letter indicating the Lab#/s and date needed to the Evidence Office @ 617-983-6625 and they will assign them to a chemist/s.

Have a great long weekend.

Annie  
Drug Analysis Lab  
617-983-6622 (work)  
617-983-6625 (fax)

---

From: Callahan, Allison (SUF)  
Sent: Friday, October 07, 2011 1:20 PM  
To: Khan, Annie (DPH)  
Subject: Expedited Certs

Annie,

Do you have an expedited drug cert request form that I can fill out and send back to you? I have a case with 2 1/2 kilos that I need expedited. Thank you!  
Allison

**From:** Payton, Debra (NFK)  
**To:** Khan, Annie (DPH)  
**Subject:** RE: B11-04278 and B11-04279 [REDACTED]  
**Date:** Friday, January 13, 2012 4:57:59 PM

---

And that is why you are my favorite!

Sent from my Windows Phone

---

**From:** Khan, Annie (DPH)  
**Sent:** Friday, January 13, 2012 1:33 PM  
**To:** Payton, Debra (NFK)  
**Subject:** RE: B11-04278 and B11-04279 [REDACTED]

I will send the discovery packet next week.

Have a nice weekend.

Annie

---

**From:** Payton, Debra (NFK)  
**Sent:** Friday, January 13, 2012 12:55 PM  
**To:** Khan, Annie (DPH); Piro, Peter (DPH)  
**Subject:** B11-04278 and B11-04279 [REDACTED]

Dear Brilliant ones:

HUGE CRUNCH TIME!! I know you are really backed up at this particular time. I tried to get a continuance for trial but I could not. I heard that the certs are now in the custody of QPD. I have the above mentioned case scheduled to begin TRIAL on February 22, 2012. PLEASE tell me that you will be available to testify on February 24, February 27<sup>th</sup> or February 28 or February 29<sup>th</sup>? Your choice of course!!!

Please let me know as soon as you can. These are VERY bad guys and the judge almost released them from custody yesterday. Also, PLEASE send me the lab packets at your earliest convenience. THANK YOU MILLIONS!

Debi Payton  
Norfolk District Attorney's Office  
45 Shawmut Road  
Canton, MA 02021  
781-858-3118

**From:** [Martin, Laura \(NFK\)](#)  
**To:** [Khan, Annie \(DPH\)](#)  
**Subject:** RE: [REDACTED]  
**Date:** Wednesday, January 18, 2012 1:12:09 AM

---

Annie:

Thanks for the speedy reply. Your the best. Fortunately, i scared [REDACTED] into pleading out to guilty 1 yr. HOC suspended for 2 years.... Thought you'd love to know Defense attorneys get very concerned when the commonwealth has certs and lab packets....

Thanks again:  
Laura

---

From: Khan, Annie (DPH)  
Sent: Friday, January 13, 2012 10:33 AM  
To: Martin, Laura (NFK)  
Subject: FW: [REDACTED]

Hi,

Please see attachment for the discovery packet.

Let me know if you need anything else pertaining to this case.

Have a nice weekend.

Thanks,

Annie  
Drug Analysis Lab  
617-983-6622 (work)  
617-983-6625 (fax)

**From:** Glazer, Lisa (DPH)  
**To:** Higgins, Joseph (PLY)  
**Cc:** Khan, Annie (DPH)  
**Subject:** RE: [REDACTED]  
**Date:** Thursday, February 23, 2012 7:19:29 AM

---

Good Morning Joe,

As of right now I'm scheduled to testify in Norfolk Superior court on Tuesday. I'm not sure what time, but hopefully this conflict will help you out with the judge. I do have a summons for a trial in Suffolk superior court for the day before so there is a chance that I might need to testify there too on Tuesday. I also have summonses for several district courts on Tuesday.

Thanks,

Lisa Glazer  
Chemist II  
Department of Public Health Drug Analysis Laboratory  
305 South Street  
Jamaica Plain, MA 02130  
Office: 617-983-6632  
Fax: 617-983-6625

---

**From:** Higgins, Joseph (PLY)  
**Sent:** Wednesday, February 22, 2012 4:02 PM  
**To:** Glazer, Lisa (DPH); Khan, Annie (DPH)  
**Subject:** [REDACTED]

Hi Lisa and Annie,

This case is currently scheduled for trial on Tuesday 2/28 in Plymouth District Court. I was wondering what your schedules are looking like for that day----Do you have to be in other courts? (I am trying to have the case continued so that I can have a little more time to get up to speed on it, as it was just reassigned to me last week. I obviously need to provide the court with a reason for my continuance request, and I figured that either one of you having a conflict would go over better than me saying I just need a little more time). Please let me know.

Thank you in advance,

Joe Higgins

# **GOLDBACH ATTACHMENT J**

---

---

## General requirements for the competence of testing and calibration laboratories

*Exigences générales concernant la compétence des laboratoires  
d'étalonnages et d'essais*

---

---

Reference number  
ISO/IEC 17025:2005(E)

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #3919628/Downloaded:2008-06-10  
Single user license. Any copying and networking prohibited



© ISO 2005



**PDF disclaimer**

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.

© ISO 2005

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office  
Case postale 56 • CH-1211 Geneva 20  
Tel. + 41 22 749 01 11  
Fax + 41 22 749 09 47  
E-mail [copyright@iso.org](mailto:copyright@iso.org)  
Web [www.iso.org](http://www.iso.org)

Published in Switzerland

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

# Contents

Page

Foreword .....	v
Introduction .....	vi
1 Scope .....	1
2 Normative references .....	2
3 Terms and definitions .....	2
4 Management requirements .....	2
4.1 Organization .....	2
4.2 Management system .....	3
4.3 Document control .....	4
4.3.1 General .....	4
4.3.2 Document approval and issue .....	4
4.3.3 Document changes .....	5
4.4 Review of requests, tenders and contracts .....	5
4.5 Subcontracting of tests and calibrations .....	6
4.6 Purchasing services and supplies .....	6
4.7 Service to the customer .....	6
4.8 Complaints .....	7
4.9 Control of nonconforming testing and/or calibration work .....	7
4.10 Improvement .....	7
4.11 Corrective action .....	8
4.11.1 General .....	8
4.11.2 Cause analysis .....	8
4.11.3 Selection and implementation of corrective actions .....	8
4.11.4 Monitoring of corrective actions .....	8
4.11.5 Additional audits .....	8
4.12 Preventive action .....	8
4.13 Control of records .....	9
4.13.1 General .....	9
4.13.2 Technical records .....	9
4.14 Internal audits .....	9
4.15 Management reviews .....	10
5 Technical requirements .....	10
5.1 General .....	10
5.2 Personnel .....	11
5.3 Accommodation and environmental conditions .....	12
5.4 Test and calibration methods and method validation .....	12
5.4.1 General .....	12
5.4.2 Selection of methods .....	13
5.4.3 Laboratory-developed methods .....	13
5.4.4 Non-standard methods .....	13
5.4.5 Validation of methods .....	14
5.4.6 Estimation of uncertainty of measurement .....	14
5.4.7 Control of data .....	15
5.5 Equipment .....	15
5.6 Measurement traceability .....	17
5.6.1 General .....	17
5.6.2 Specific requirements .....	17
5.6.3 Reference standards and reference materials .....	18
5.7 Sampling .....	19

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded 2008-06-10  
Single user licence only, copying and networking prohibited

5.8	Handling of test and calibration items .....	19
5.9	Assuring the quality of test and calibration results .....	20
5.10	Reporting the results .....	20
5.10.1	General .....	20
5.10.2	Test reports and calibration certificates .....	20
5.10.3	Test reports .....	21
5.10.4	Calibration certificates .....	22
5.10.5	Opinions and interpretations .....	22
5.10.6	Testing and calibration results obtained from subcontractors .....	23
5.10.7	Electronic transmission of results .....	23
5.10.8	Format of reports and certificates .....	23
5.10.9	Amendments to test reports and calibration certificates .....	23
Annex A	(informative) Nominal cross-references to ISO 9001:2000 .....	24
Annex B	(informative) Guidelines for establishing applications for specific fields .....	26
Bibliography	.....	27

## Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of conformity assessment, the ISO Committee on conformity assessment (CASCO) is responsible for the development of International Standards and Guides.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

Draft International Standards are circulated to the national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/IEC 17025 was prepared by the *ISO Committee on conformity assessment* (CASCO).

It was circulated for voting to the national bodies of both ISO and IEC, and was approved by both organizations.

This second edition cancels and replaces the first edition (ISO/IEC 17025:1999), which has been technically revised.

## Introduction

The first edition (1999) of this International Standard was produced as the result of extensive experience in the implementation of ISO/IEC Guide 25 and EN 45001, both of which it replaced. It contained all of the requirements that testing and calibration laboratories have to meet if they wish to demonstrate that they operate a management system, are technically competent, and are able to generate technically valid results.

The first edition referred to ISO 9001:1994 and ISO 9002:1994. These standards have been superseded by ISO 9001:2000, which made an alignment of ISO/IEC 17025 necessary. In this second edition, clauses have been amended or added only when considered necessary in the light of ISO 9001:2000.

Accreditation bodies that recognize the competence of testing and calibration laboratories should use this International Standard as the basis for their accreditation. Clause 4 specifies the requirements for sound management. Clause 5 specifies the requirements for technical competence for the type of tests and/or calibrations the laboratory undertakes.

Growth in the use of management systems generally has increased the need to ensure that laboratories which form part of larger organizations or offer other services can operate to a quality management system that is seen as compliant with ISO 9001 as well as with this International Standard. Care has been taken, therefore, to incorporate all those requirements of ISO 9001 that are relevant to the scope of testing and calibration services that are covered by the laboratory's management system.

Testing and calibration laboratories that comply with this International Standard will therefore also operate in accordance with ISO 9001.

Conformity of the quality management system within which the laboratory operates to the requirements of ISO 9001 does not of itself demonstrate the competence of the laboratory to produce technically valid data and results. Nor does demonstrated conformity to this International Standard imply conformity of the quality management system within which the laboratory operates to all the requirements of ISO 9001.

The acceptance of testing and calibration results between countries should be facilitated if laboratories comply with this International Standard and if they obtain accreditation from bodies which have entered into mutual recognition agreements with equivalent bodies in other countries using this International Standard.

The use of this International Standard will facilitate cooperation between laboratories and other bodies, and assist in the exchange of information and experience, and in the harmonization of standards and procedures.

# General requirements for the competence of testing and calibration laboratories

## 1 Scope

**1.1** This International Standard specifies the general requirements for the competence to carry out tests and/or calibrations, including sampling. It covers testing and calibration performed using standard methods, non-standard methods, and laboratory-developed methods.

**1.2** This International Standard is applicable to all organizations performing tests and/or calibrations. These include, for example, first-, second- and third-party laboratories, and laboratories where testing and/or calibration forms part of inspection and product certification.

This International Standard is applicable to all laboratories regardless of the number of personnel or the extent of the scope of testing and/or calibration activities. When a laboratory does not undertake one or more of the activities covered by this International Standard, such as sampling and the design/development of new methods, the requirements of those clauses do not apply.

**1.3** The notes given provide clarification of the text, examples and guidance. They do not contain requirements and do not form an integral part of this International Standard.

**1.4** This International Standard is for use by laboratories in developing their management system for quality, administrative and technical operations. Laboratory customers, regulatory authorities and accreditation bodies may also use it in confirming or recognizing the competence of laboratories. This International Standard is not intended to be used as the basis for certification of laboratories.

**NOTE 1** The term 'management system' in this International Standard means the quality, administrative and technical systems that govern the operations of a laboratory.

**NOTE 2** Certification of a management system is sometimes also called registration.

**1.5** Compliance with regulatory and safety requirements on the operation of laboratories is not covered by this International Standard.

**1.6** If testing and calibration laboratories comply with the requirements of this International Standard, they will operate a quality management system for their testing and calibration activities that also meets the principles of ISO 9001. Annex A provides nominal cross-references between this International Standard and ISO 9001. This International Standard covers technical competence requirements that are not covered by ISO 9001.

**NOTE 1** It might be necessary to explain or interpret certain requirements in this International Standard to ensure that the requirements are applied in a consistent manner. Guidance for establishing applications for specific fields, especially for accreditation bodies (see ISO/IEC 17011) is given in Annex B.

**NOTE 2** If a laboratory wishes accreditation for part or all of its testing and calibration activities, it should select an accreditation body that operates in accordance with ISO/IEC 17011.

## 2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

VIM, *International vocabulary of basic and general terms in metrology*, issued by BIPM, IEC, IFCC, ISO, IUPAC, IUPAP and OIML

NOTE Further related standards, guides, etc. on subjects included in this International Standard are given in the Bibliography.

## 3 Terms and definitions

For the purposes of this document, the relevant terms and definitions given in ISO/IEC 17000 and VIM apply.

NOTE General definitions related to quality are given in ISO 9000, whereas ISO/IEC 17000 gives definitions specifically related to certification and laboratory accreditation. Where different definitions are given in ISO 9000, the definitions in ISO/IEC 17000 and VIM are preferred.

## 4 Management requirements

### 4.1 Organization

**4.1.1** The laboratory or the organization of which it is part shall be an entity that can be held legally responsible.

**4.1.2** It is the responsibility of the laboratory to carry out its testing and calibration activities in such a way as to meet the requirements of this International Standard and to satisfy the needs of the customer, the regulatory authorities or organizations providing recognition.

**4.1.3** The management system shall cover work carried out in the laboratory's permanent facilities, at sites away from its permanent facilities, or in associated temporary or mobile facilities.

**4.1.4** If the laboratory is part of an organization performing activities other than testing and/or calibration, the responsibilities of key personnel in the organization that have an involvement or influence on the testing and/or calibration activities of the laboratory shall be defined in order to identify potential conflicts of interest.

NOTE 1 Where a laboratory is part of a larger organization, the organizational arrangements should be such that departments having conflicting interests, such as production, commercial marketing or financing do not adversely influence the laboratory's compliance with the requirements of this International Standard.

NOTE 2 If the laboratory wishes to be recognized as a third-party laboratory, it should be able to demonstrate that it is impartial and that it and its personnel are free from any undue commercial, financial and other pressures which might influence their technical judgement. The third-party testing or calibration laboratory should not engage in any activities that may endanger the trust in its independence of judgement and integrity in relation to its testing or calibration activities.

**4.1.5** The laboratory shall

- a) have managerial and technical personnel who, irrespective of other responsibilities, have the authority and resources needed to carry out their duties, including the implementation, maintenance and improvement of the management system, and to identify the occurrence of departures from the management system or from the procedures for performing tests and/or calibrations, and to initiate actions to prevent or minimize such departures (see also 5.2);

- b) have arrangements to ensure that its management and personnel are free from any undue internal and external commercial, financial and other pressures and influences that may adversely affect the quality of their work;
- c) have policies and procedures to ensure the protection of its customers' confidential information and proprietary rights, including procedures for protecting the electronic storage and transmission of results;
- d) have policies and procedures to avoid involvement in any activities that would diminish confidence in its competence, impartiality, judgement or operational integrity;
- e) define the organization and management structure of the laboratory, its place in any parent organization, and the relationships between quality management, technical operations and support services;
- f) specify the responsibility, authority and interrelationships of all personnel who manage, perform or verify work affecting the quality of the tests and/or calibrations;
- g) provide adequate supervision of testing and calibration staff, including trainees, by persons familiar with methods and procedures, purpose of each test and/or calibration, and with the assessment of the test or calibration results;
- h) have technical management which has overall responsibility for the technical operations and the provision of the resources needed to ensure the required quality of laboratory operations;
- i) appoint a member of staff as quality manager (however named) who, irrespective of other duties and responsibilities, shall have defined responsibility and authority for ensuring that the management system related to quality is implemented and followed at all times; the quality manager shall have direct access to the highest level of management at which decisions are made on laboratory policy or resources;
- j) appoint deputies for key managerial personnel (see Note);
- k) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the objectives of the management system.

NOTE Individuals may have more than one function and it may be impractical to appoint deputies for every function.

**4.1.6** Top management shall ensure that appropriate communication processes are established within the laboratory and that communication takes place regarding the effectiveness of the management system.

## **4.2 Management system**

**4.2.1** The laboratory shall establish, implement and maintain a management system appropriate to the scope of its activities. The laboratory shall document its policies, systems, programmes, procedures and instructions to the extent necessary to assure the quality of the test and/or calibration results. The system's documentation shall be communicated to, understood by, available to, and implemented by the appropriate personnel.

**4.2.2** The laboratory's management system policies related to quality, including a quality policy statement, shall be defined in a quality manual (however named). The overall objectives shall be established, and shall be reviewed during management review. The quality policy statement shall be issued under the authority of top management. It shall include at least the following:

- a) the laboratory management's commitment to good professional practice and to the quality of its testing and calibration in servicing its customers;
- b) the management's statement of the laboratory's standard of service;
- c) the purpose of the management system related to quality;



- d) a requirement that all personnel concerned with testing and calibration activities within the laboratory familiarize themselves with the quality documentation and implement the policies and procedures in their work; and
- e) the laboratory management's commitment to comply with this International Standard and to continually improve the effectiveness of the management system.

NOTE The quality policy statement should be concise and may include the requirement that tests and/or calibrations shall always be carried out in accordance with stated methods and customers' requirements. When the test and/or calibration laboratory is part of a larger organization, some quality policy elements may be in other documents.

**4.2.3** Top management shall provide evidence of commitment to the development and implementation of the management system and to continually improving its effectiveness.

**4.2.4** Top management shall communicate to the organization the importance of meeting customer requirements as well as statutory and regulatory requirements.

**4.2.5** The quality manual shall include or make reference to the supporting procedures including technical procedures. It shall outline the structure of the documentation used in the management system.

**4.2.6** The roles and responsibilities of technical management and the quality manager, including their responsibility for ensuring compliance with this International Standard, shall be defined in the quality manual.

**4.2.7** Top management shall ensure that the integrity of the management system is maintained when changes to the management system are planned and implemented.

### **4.3 Document control**

#### **4.3.1 General**

The laboratory shall establish and maintain procedures to control all documents that form part of its management system (internally generated or from external sources), such as regulations, standards, other normative documents, test and/or calibration methods, as well as drawings, software, specifications, instructions and manuals.

NOTE 1 In this context "document" could be policy statements, procedures, specifications, calibration tables, charts, text books, posters, notices, memoranda, software, drawings, plans, etc. These may be on various media, whether hard copy or electronic, and they may be digital, analog, photographic or written.

NOTE 2 The control of data related to testing and calibration is covered in 5.4.7. The control of records is covered in 4.13.

#### **4.3.2 Document approval and issue**

**4.3.2.1** All documents issued to personnel in the laboratory as part of the management system shall be reviewed and approved for use by authorized personnel prior to issue. A master list or an equivalent document control procedure identifying the current revision status and distribution of documents in the management system shall be established and shall be readily available to preclude the use of invalid and/or obsolete documents.

**4.3.2.2** The procedure(s) adopted shall ensure that:

- a) authorized editions of appropriate documents are available at all locations where operations essential to the effective functioning of the laboratory are performed;
- b) documents are periodically reviewed and, where necessary, revised to ensure continuing suitability and compliance with applicable requirements;

- c) invalid or obsolete documents are promptly removed from all points of issue or use, or otherwise assured against unintended use;
- d) obsolete documents retained for either legal or knowledge preservation purposes are suitably marked.

**4.3.2.3** Management system documents generated by the laboratory shall be uniquely identified. Such identification shall include the date of issue and/or revision identification, page numbering, the total number of pages or a mark to signify the end of the document, and the issuing authority(ies).

#### **4.3.3 Document changes**

**4.3.3.1** Changes to documents shall be reviewed and approved by the same function that performed the original review unless specifically designated otherwise. The designated personnel shall have access to pertinent background information upon which to base their review and approval.

**4.3.3.2** Where practicable, the altered or new text shall be identified in the document or the appropriate attachments.

**4.3.3.3** If the laboratory's document control system allows for the amendment of documents by hand pending the re-issue of the documents, the procedures and authorities for such amendments shall be defined. Amendments shall be clearly marked, initialled and dated. A revised document shall be formally re-issued as soon as practicable.

**4.3.3.4** Procedures shall be established to describe how changes in documents maintained in computerized systems are made and controlled.

#### **4.4 Review of requests, tenders and contracts**

**4.4.1** The laboratory shall establish and maintain procedures for the review of requests, tenders and contracts. The policies and procedures for these reviews leading to a contract for testing and/or calibration shall ensure that:

- a) the requirements, including the methods to be used, are adequately defined, documented and understood (see 5.4.2);
- b) the laboratory has the capability and resources to meet the requirements;
- c) the appropriate test and/or calibration method is selected and is capable of meeting the customers' requirements (see 5.4.2).

Any differences between the request or tender and the contract shall be resolved before any work commences. Each contract shall be acceptable both to the laboratory and the customer.

**NOTE 1** The request, tender and contract review should be conducted in a practical and efficient manner, and the effect of financial, legal and time schedule aspects should be taken into account. For internal customers, reviews of requests, tenders and contracts can be performed in a simplified way.

**NOTE 2** The review of capability should establish that the laboratory possesses the necessary physical, personnel and information resources, and that the laboratory's personnel have the skills and expertise necessary for the performance of the tests and/or calibrations in question. The review may also encompass results of earlier participation in interlaboratory comparisons or proficiency testing and/or the running of trial test or calibration programmes using samples or items of known value in order to determine uncertainties of measurement, limits of detection, confidence limits, etc.

**NOTE 3** A contract may be any written or oral agreement to provide a customer with testing and/or calibration services.

**4.4.2** Records of reviews, including any significant changes, shall be maintained. Records shall also be maintained of pertinent discussions with a customer relating to the customer's requirements or the results of the work during the period of execution of the contract.

**NOTE** For review of routine and other simple tasks, the date and the identification (e.g. the initials) of the person in the laboratory responsible for carrying out the contracted work are considered adequate. For repetitive routine tasks, the review need be made only at the initial enquiry stage or on granting of the contract for on-going routine work performed under a general agreement with the customer, provided that the customer's requirements remain unchanged. For new, complex or advanced testing and/or calibration tasks, a more comprehensive record should be maintained.

**4.4.3** The review shall also cover any work that is subcontracted by the laboratory.

**4.4.4** The customer shall be informed of any deviation from the contract.

**4.4.5** If a contract needs to be amended after work has commenced, the same contract review process shall be repeated and any amendments shall be communicated to all affected personnel.

## **4.5 Subcontracting of tests and calibrations**

**4.5.1** When a laboratory subcontracts work, whether because of unforeseen reasons (e.g. workload, need for further expertise or temporary incapacity) or on a continuing basis (e.g. through permanent subcontracting, agency or franchising arrangements), this work shall be placed with a competent subcontractor. A competent subcontractor is one that, for example, complies with this International Standard for the work in question.

**4.5.2** The laboratory shall advise the customer of the arrangement in writing and, when appropriate, gain the approval of the customer, preferably in writing.

**4.5.3** The laboratory is responsible to the customer for the subcontractor's work, except in the case where the customer or a regulatory authority specifies which subcontractor is to be used.

**4.5.4** The laboratory shall maintain a register of all subcontractors that it uses for tests and/or calibrations and a record of the evidence of compliance with this International Standard for the work in question.

## **4.6 Purchasing services and supplies**

**4.6.1** The laboratory shall have a policy and procedure(s) for the selection and purchasing of services and supplies it uses that affect the quality of the tests and/or calibrations. Procedures shall exist for the purchase, reception and storage of reagents and laboratory consumable materials relevant for the tests and calibrations.

**4.6.2** The laboratory shall ensure that purchased supplies and reagents and consumable materials that affect the quality of tests and/or calibrations are not used until they have been inspected or otherwise verified as complying with standard specifications or requirements defined in the methods for the tests and/or calibrations concerned. These services and supplies used shall comply with specified requirements. Records of actions taken to check compliance shall be maintained.

**4.6.3** Purchasing documents for items affecting the quality of laboratory output shall contain data describing the services and supplies ordered. These purchasing documents shall be reviewed and approved for technical content prior to release.

**NOTE** The description may include type, class, grade, precise identification, specifications, drawings, inspection instructions, other technical data including approval of test results, the quality required and the management system standard under which they were made.

**4.6.4** The laboratory shall evaluate suppliers of critical consumables, supplies and services which affect the quality of testing and calibration, and shall maintain records of these evaluations and list those approved.

## **4.7 Service to the customer**

**4.7.1** The laboratory shall be willing to cooperate with customers or their representatives in clarifying the customer's request and in monitoring the laboratory's performance in relation to the work performed, provided that the laboratory ensures confidentiality to other customers.

NOTE 1 Such cooperation may include:

- a) providing the customer or the customer's representative reasonable access to relevant areas of the laboratory for the witnessing of tests and/or calibrations performed for the customer;
- b) preparation, packaging, and dispatch of test and/or calibration items needed by the customer for verification purposes.

NOTE 2 Customers value the maintenance of good communication, advice and guidance in technical matters, and opinions and interpretations based on results. Communication with the customer, especially in large assignments, should be maintained throughout the work. The laboratory should inform the customer of any delays or major deviations in the performance of the tests and/or calibrations.

**4.7.2** The laboratory shall seek feedback, both positive and negative, from its customers. The feedback shall be used and analysed to improve the management system, testing and calibration activities and customer service.

NOTE Examples of the types of feedback include customer satisfaction surveys and review of test or calibration reports with customers.

## 4.8 Complaints

The laboratory shall have a policy and procedure for the resolution of complaints received from customers or other parties. Records shall be maintained of all complaints and of the investigations and corrective actions taken by the laboratory (see also 4.11).

## 4.9 Control of nonconforming testing and/or calibration work

**4.9.1** The laboratory shall have a policy and procedures that shall be implemented when any aspect of its testing and/or calibration work, or the results of this work, do not conform to its own procedures or the agreed requirements of the customer. The policy and procedures shall ensure that:

- a) the responsibilities and authorities for the management of nonconforming work are designated and actions (including halting of work and withholding of test reports and calibration certificates, as necessary) are defined and taken when nonconforming work is identified;
- b) an evaluation of the significance of the nonconforming work is made;
- c) correction is taken immediately, together with any decision about the acceptability of the nonconforming work;
- d) where necessary, the customer is notified and work is recalled;
- e) the responsibility for authorizing the resumption of work is defined.

NOTE Identification of nonconforming work or problems with the management system or with testing and/or calibration activities can occur at various places within the management system and technical operations. Examples are customer complaints, quality control, instrument calibration, checking of consumable materials, staff observations or supervision, test report and calibration certificate checking, management reviews and internal or external audits.

**4.9.2** Where the evaluation indicates that the nonconforming work could recur or that there is doubt about the compliance of the laboratory's operations with its own policies and procedures, the corrective action procedures given in 4.11 shall be promptly followed.

## 4.10 Improvement

The laboratory shall continually improve the effectiveness of its management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.

## 4.11 Corrective action

### 4.11.1 General

The laboratory shall establish a policy and a procedure and shall designate appropriate authorities for implementing corrective action when nonconforming work or departures from the policies and procedures in the management system or technical operations have been identified.

**NOTE** A problem with the management system or with the technical operations of the laboratory may be identified through a variety of activities, such as control of nonconforming work, internal or external audits, management reviews, feedback from customers and from staff observations.

### 4.11.2 Cause analysis

The procedure for corrective action shall start with an investigation to determine the root cause(s) of the problem.

**NOTE** Cause analysis is the key and sometimes the most difficult part in the corrective action procedure. Often the root cause is not obvious and thus a careful analysis of all potential causes of the problem is required. Potential causes could include customer requirements, the samples, sample specifications, methods and procedures, staff skills and training, consumables, or equipment and its calibration.

### 4.11.3 Selection and implementation of corrective actions

Where corrective action is needed, the laboratory shall identify potential corrective actions. It shall select and implement the action(s) most likely to eliminate the problem and to prevent recurrence.

Corrective actions shall be to a degree appropriate to the magnitude and the risk of the problem.

The laboratory shall document and implement any required changes resulting from corrective action investigations.

### 4.11.4 Monitoring of corrective actions

The laboratory shall monitor the results to ensure that the corrective actions taken have been effective.

### 4.11.5 Additional audits

Where the identification of nonconformities or departures casts doubts on the laboratory's compliance with its own policies and procedures, or on its compliance with this International Standard, the laboratory shall ensure that the appropriate areas of activity are audited in accordance with 4.14 as soon as possible.

**NOTE** Such additional audits often follow the implementation of the corrective actions to confirm their effectiveness. An additional audit should be necessary only when a serious issue or risk to the business is identified.

## 4.12 Preventive action

**4.12.1** Needed improvements and potential sources of nonconformities, either technical or concerning the management system, shall be identified. When improvement opportunities are identified or if preventive action is required, action plans shall be developed, implemented and monitored to reduce the likelihood of the occurrence of such nonconformities and to take advantage of the opportunities for improvement.

**4.12.2** Procedures for preventive actions shall include the initiation of such actions and the application of controls to ensure that they are effective.

**NOTE 1** Preventive action is a pro-active process to identify opportunities for improvement rather than a reaction to the identification of problems or complaints.

NOTE 2 Apart from the review of the operational procedures, the preventive action might involve analysis of data, including trend and risk analyses and proficiency-testing results.

## 4.13 Control of records

### 4.13.1 General

**4.13.1.1** The laboratory shall establish and maintain procedures for identification, collection, indexing, access, filing, storage, maintenance and disposal of quality and technical records. Quality records shall include reports from internal audits and management reviews as well as records of corrective and preventive actions.

**4.13.1.2** All records shall be legible and shall be stored and retained in such a way that they are readily retrievable in facilities that provide a suitable environment to prevent damage or deterioration and to prevent loss. Retention times of records shall be established.

NOTE Records may be in any media, such as hard copy or electronic media.

**4.13.1.3** All records shall be held secure and in confidence.

**4.13.1.4** The laboratory shall have procedures to protect and back-up records stored electronically and to prevent unauthorized access to or amendment of these records.

### 4.13.2 Technical records

**4.13.2.1** The laboratory shall retain records of original observations, derived data and sufficient information to establish an audit trail, calibration records, staff records and a copy of each test report or calibration certificate issued, for a defined period. The records for each test or calibration shall contain sufficient information to facilitate, if possible, identification of factors affecting the uncertainty and to enable the test or calibration to be repeated under conditions as close as possible to the original. The records shall include the identity of personnel responsible for the sampling, performance of each test and/or calibration and checking of results.

NOTE 1 In certain fields it may be impossible or impractical to retain records of all original observations.

NOTE 2 Technical records are accumulations of data (see 5.4.7) and information which result from carrying out tests and/or calibrations and which indicate whether specified quality or process parameters are achieved. They may include forms, contracts, work sheets, work books, check sheets, work notes, control graphs, external and internal test reports and calibration certificates, customers' notes, papers and feedback.

**4.13.2.2** Observations, data and calculations shall be recorded at the time they are made and shall be identifiable to the specific task.

**4.13.2.3** When mistakes occur in records, each mistake shall be crossed out, not erased, made illegible or deleted, and the correct value entered alongside. All such alterations to records shall be signed or initialled by the person making the correction. In the case of records stored electronically, equivalent measures shall be taken to avoid loss or change of original data.

## 4.14 Internal audits

**4.14.1** The laboratory shall periodically, and in accordance with a predetermined schedule and procedure, conduct internal audits of its activities to verify that its operations continue to comply with the requirements of the management system and this International Standard. The internal audit programme shall address all elements of the management system, including the testing and/or calibration activities. It is the responsibility of the quality manager to plan and organize audits as required by the schedule and requested by management. Such audits shall be carried out by trained and qualified personnel who are, wherever resources permit, independent of the activity to be audited.

NOTE The cycle for internal auditing should normally be completed in one year.

Licensed to ASCLD CONSULTING, LLC/JOSEPH BOND  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

**4.14.2** When audit findings cast doubt on the effectiveness of the operations or on the correctness or validity of the laboratory's test or calibration results, the laboratory shall take timely corrective action, and shall notify customers in writing if investigations show that the laboratory results may have been affected.

**4.14.3** The area of activity audited, the audit findings and corrective actions that arise from them shall be recorded.

**4.14.4** Follow-up audit activities shall verify and record the implementation and effectiveness of the corrective action taken.

## **4.15 Management reviews**

**4.15.1** In accordance with a predetermined schedule and procedure, the laboratory's top management shall periodically conduct a review of the laboratory's management system and testing and/or calibration activities to ensure their continuing suitability and effectiveness, and to introduce necessary changes or improvements. The review shall take account of:

- the suitability of policies and procedures;
- reports from managerial and supervisory personnel;
- the outcome of recent internal audits;
- corrective and preventive actions;
- assessments by external bodies;
- the results of interlaboratory comparisons or proficiency tests;
- changes in the volume and type of the work;
- customer feedback;
- complaints;
- recommendations for improvement;
- other relevant factors, such as quality control activities, resources and staff training.

NOTE 1 A typical period for conducting a management review is once every 12 months.

NOTE 2 Results should feed into the laboratory planning system and should include the goals, objectives and action plans for the coming year.

NOTE 3 A management review includes consideration of related subjects at regular management meetings.

**4.15.2** Findings from management reviews and the actions that arise from them shall be recorded. The management shall ensure that those actions are carried out within an appropriate and agreed timescale.

## **5 Technical requirements**

### **5.1 General**

**5.1.1** Many factors determine the correctness and reliability of the tests and/or calibrations performed by a laboratory. These factors include contributions from:

- human factors (5.2);

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

- accommodation and environmental conditions (5.3);
- test and calibration methods and method validation (5.4);
- equipment (5.5);
- measurement traceability (5.6);
- sampling (5.7);
- the handling of test and calibration items (5.8).

**5.1.2** The extent to which the factors contribute to the total uncertainty of measurement differs considerably between (types of) tests and between (types of) calibrations. The laboratory shall take account of these factors in developing test and calibration methods and procedures, in the training and qualification of personnel, and in the selection and calibration of the equipment it uses.

## 5.2 Personnel

**5.2.1** The laboratory management shall ensure the competence of all who operate specific equipment, perform tests and/or calibrations, evaluate results, and sign test reports and calibration certificates. When using staff who are undergoing training, appropriate supervision shall be provided. Personnel performing specific tasks shall be qualified on the basis of appropriate education, training, experience and/or demonstrated skills, as required.

**NOTE 1** In some technical areas (e.g. non-destructive testing) it may be required that the personnel performing certain tasks hold personnel certification. The laboratory is responsible for fulfilling specified personnel certification requirements. The requirements for personnel certification might be regulatory, included in the standards for the specific technical field, or required by the customer.

**NOTE 2** The personnel responsible for the opinions and interpretation included in test reports should, in addition to the appropriate qualifications, training, experience and satisfactory knowledge of the testing carried out, also have:

- relevant knowledge of the technology used for the manufacturing of the items, materials, products, etc. tested, or the way they are used or intended to be used, and of the defects or degradations which may occur during or in service;
- knowledge of the general requirements expressed in the legislation and standards; and
- an understanding of the significance of deviations found with regard to the normal use of the items, materials, products, etc. concerned.

**5.2.2** The management of the laboratory shall formulate the goals with respect to the education, training and skills of the laboratory personnel. The laboratory shall have a policy and procedures for identifying training needs and providing training of personnel. The training programme shall be relevant to the present and anticipated tasks of the laboratory. The effectiveness of the training actions taken shall be evaluated.

**5.2.3** The laboratory shall use personnel who are employed by, or under contract to, the laboratory. Where contracted and additional technical and key support personnel are used, the laboratory shall ensure that such personnel are supervised and competent and that they work in accordance with the laboratory's management system.

**5.2.4** The laboratory shall maintain current job descriptions for managerial, technical and key support personnel involved in tests and/or calibrations.

**NOTE** Job descriptions can be defined in many ways. As a minimum, the following should be defined:

- the responsibilities with respect to performing tests and/or calibrations;
- the responsibilities with respect to the planning of tests and/or calibrations and evaluation of results;
- the responsibilities for reporting opinions and interpretations;
- the responsibilities with respect to method modification and development and validation of new methods;

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited



- expertise and experience required;
- qualifications and training programmes;
- managerial duties.

**5.2.5** The management shall authorize specific personnel to perform particular types of sampling, test and/or calibration, to issue test reports and calibration certificates, to give opinions and interpretations and to operate particular types of equipment. The laboratory shall maintain records of the relevant authorization(s), competence, educational and professional qualifications, training, skills and experience of all technical personnel, including contracted personnel. This information shall be readily available and shall include the date on which authorization and/or competence is confirmed.

### **5.3 Accommodation and environmental conditions**

**5.3.1** Laboratory facilities for testing and/or calibration, including but not limited to energy sources, lighting and environmental conditions, shall be such as to facilitate correct performance of the tests and/or calibrations.

The laboratory shall ensure that the environmental conditions do not invalidate the results or adversely affect the required quality of any measurement. Particular care shall be taken when sampling and tests and/or calibrations are undertaken at sites other than a permanent laboratory facility. The technical requirements for accommodation and environmental conditions that can affect the results of tests and calibrations shall be documented.

**5.3.2** The laboratory shall monitor, control and record environmental conditions as required by the relevant specifications, methods and procedures or where they influence the quality of the results. Due attention shall be paid, for example, to biological sterility, dust, electromagnetic disturbances, radiation, humidity, electrical supply, temperature, and sound and vibration levels, as appropriate to the technical activities concerned. Tests and calibrations shall be stopped when the environmental conditions jeopardize the results of the tests and/or calibrations.

**5.3.3** There shall be effective separation between neighbouring areas in which there are incompatible activities. Measures shall be taken to prevent cross-contamination.

**5.3.4** Access to and use of areas affecting the quality of the tests and/or calibrations shall be controlled. The laboratory shall determine the extent of control based on its particular circumstances.

**5.3.5** Measures shall be taken to ensure good housekeeping in the laboratory. Special procedures shall be prepared where necessary.

### **5.4 Test and calibration methods and method validation**

#### **5.4.1 General**

The laboratory shall use appropriate methods and procedures for all tests and/or calibrations within its scope. These include sampling, handling, transport, storage and preparation of items to be tested and/or calibrated, and, where appropriate, an estimation of the measurement uncertainty as well as statistical techniques for analysis of test and/or calibration data.

The laboratory shall have instructions on the use and operation of all relevant equipment, and on the handling and preparation of items for testing and/or calibration, or both, where the absence of such instructions could jeopardize the results of tests and/or calibrations. All instructions, standards, manuals and reference data relevant to the work of the laboratory shall be kept up to date and shall be made readily available to personnel (see 4.3). Deviation from test and calibration methods shall occur only if the deviation has been documented, technically justified, authorized, and accepted by the customer.

**NOTE** International, regional or national standards or other recognized specifications that contain sufficient and concise information on how to perform the tests and/or calibrations do not need to be supplemented or rewritten as internal procedures if these standards are written in a way that they can be used as published by the operating staff in a laboratory. It may be necessary to provide additional documentation for optional steps in the method or additional details.

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

#### 5.4.2 Selection of methods

The laboratory shall use test and/or calibration methods, including methods for sampling, which meet the needs of the customer and which are appropriate for the tests and/or calibrations it undertakes. Methods published in international, regional or national standards shall preferably be used. The laboratory shall ensure that it uses the latest valid edition of a standard unless it is not appropriate or possible to do so. When necessary, the standard shall be supplemented with additional details to ensure consistent application.

When the customer does not specify the method to be used, the laboratory shall select appropriate methods that have been published either in international, regional or national standards, or by reputable technical organizations, or in relevant scientific texts or journals, or as specified by the manufacturer of the equipment. Laboratory-developed methods or methods adopted by the laboratory may also be used if they are appropriate for the intended use and if they are validated. The customer shall be informed as to the method chosen. The laboratory shall confirm that it can properly operate standard methods before introducing the tests or calibrations. If the standard method changes, the confirmation shall be repeated.

The laboratory shall inform the customer when the method proposed by the customer is considered to be inappropriate or out of date.

#### 5.4.3 Laboratory-developed methods

The introduction of test and calibration methods developed by the laboratory for its own use shall be a planned activity and shall be assigned to qualified personnel equipped with adequate resources.

Plans shall be updated as development proceeds and effective communication amongst all personnel involved shall be ensured.

#### 5.4.4 Non-standard methods

When it is necessary to use methods not covered by standard methods, these shall be subject to agreement with the customer and shall include a clear specification of the customer's requirements and the purpose of the test and/or calibration. The method developed shall have been validated appropriately before use.

**NOTE** For new test and/or calibration methods, procedures should be developed prior to the tests and/or calibrations being performed and should contain at least the following information:

- a) appropriate identification;
- b) scope;
- c) description of the type of item to be tested or calibrated;
- d) parameters or quantities and ranges to be determined;
- e) apparatus and equipment, including technical performance requirements;
- f) reference standards and reference materials required;
- g) environmental conditions required and any stabilization period needed;
- h) description of the procedure, including
  - affixing of identification marks, handling, transporting, storing and preparation of items,
  - checks to be made before the work is started,
  - checks that the equipment is working properly and, where required, calibration and adjustment of the equipment before each use,
  - the method of recording the observations and results,
  - any safety measures to be observed;
- i) criteria and/or requirements for approval/rejection;
- j) data to be recorded and method of analysis and presentation;
- k) the uncertainty or the procedure for estimating uncertainty.

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

#### 5.4.5 Validation of methods

**5.4.5.1** Validation is the confirmation by examination and the provision of objective evidence that the particular requirements for a specific intended use are fulfilled.

**5.4.5.2** The laboratory shall validate non-standard methods, laboratory-designed/developed methods, standard methods used outside their intended scope, and amplifications and modifications of standard methods to confirm that the methods are fit for the intended use. The validation shall be as extensive as is necessary to meet the needs of the given application or field of application. The laboratory shall record the results obtained, the procedure used for the validation, and a statement as to whether the method is fit for the intended use.

NOTE 1 Validation may include procedures for sampling, handling and transportation.

NOTE 2 The techniques used for the determination of the performance of a method should be one of, or a combination of, the following:

- calibration using reference standards or reference materials;
- comparison of results achieved with other methods;
- interlaboratory comparisons;
- systematic assessment of the factors influencing the result;
- assessment of the uncertainty of the results based on scientific understanding of the theoretical principles of the method and practical experience.

NOTE 3 When some changes are made in the validated non-standard methods, the influence of such changes should be documented and, if appropriate, a new validation should be carried out.

**5.4.5.3** The range and accuracy of the values obtainable from validated methods (e.g. the uncertainty of the results, detection limit, selectivity of the method, linearity, limit of repeatability and/or reproducibility, robustness against external influences and/or cross-sensitivity against interference from the matrix of the sample/test object), as assessed for the intended use, shall be relevant to the customers' needs.

NOTE 1 Validation includes specification of the requirements, determination of the characteristics of the methods, a check that the requirements can be fulfilled by using the method, and a statement on the validity.

NOTE 2 As method-development proceeds, regular review should be carried out to verify that the needs of the customer are still being fulfilled. Any change in requirements requiring modifications to the development plan should be approved and authorized.

NOTE 3 Validation is always a balance between costs, risks and technical possibilities. There are many cases in which the range and uncertainty of the values (e.g. accuracy, detection limit, selectivity, linearity, repeatability, reproducibility, robustness and cross-sensitivity) can only be given in a simplified way due to lack of information.

#### 5.4.6 Estimation of uncertainty of measurement

**5.4.6.1** A calibration laboratory, or a testing laboratory performing its own calibrations, shall have and shall apply a procedure to estimate the uncertainty of measurement for all calibrations and types of calibrations.

**5.4.6.2** Testing laboratories shall have and shall apply procedures for estimating uncertainty of measurement. In certain cases the nature of the test method may preclude rigorous, metrologically and statistically valid, calculation of uncertainty of measurement. In these cases the laboratory shall at least attempt to identify all the components of uncertainty and make a reasonable estimation, and shall ensure that the form of reporting of the result does not give a wrong impression of the uncertainty. Reasonable estimation shall be based on knowledge of the performance of the method and on the measurement scope and shall make use of, for example, previous experience and validation data.

NOTE 1 The degree of rigor needed in an estimation of uncertainty of measurement depends on factors such as:

- the requirements of the test method;

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

- the requirements of the customer;
- the existence of narrow limits on which decisions on conformity to a specification are based.

NOTE 2 In those cases where a well-recognized test method specifies limits to the values of the major sources of uncertainty of measurement and specifies the form of presentation of calculated results, the laboratory is considered to have satisfied this clause by following the test method and reporting instructions (see 5.10).

**5.4.6.3** When estimating the uncertainty of measurement, all uncertainty components which are of importance in the given situation shall be taken into account using appropriate methods of analysis.

NOTE 1 Sources contributing to the uncertainty include, but are not necessarily limited to, the reference standards and reference materials used, methods and equipment used, environmental conditions, properties and condition of the item being tested or calibrated, and the operator.

NOTE 2 The predicted long-term behaviour of the tested and/or calibrated item is not normally taken into account when estimating the measurement uncertainty.

NOTE 3 For further information, see ISO 5725 and the Guide to the Expression of Uncertainty in Measurement (see Bibliography).

## **5.4.7 Control of data**

**5.4.7.1** Calculations and data transfers shall be subject to appropriate checks in a systematic manner.

**5.4.7.2** When computers or automated equipment are used for the acquisition, processing, recording, reporting, storage or retrieval of test or calibration data, the laboratory shall ensure that:

- a) computer software developed by the user is documented in sufficient detail and is suitably validated as being adequate for use;
- b) procedures are established and implemented for protecting the data; such procedures shall include, but not be limited to, integrity and confidentiality of data entry or collection, data storage, data transmission and data processing;
- c) computers and automated equipment are maintained to ensure proper functioning and are provided with the environmental and operating conditions necessary to maintain the integrity of test and calibration data.

NOTE Commercial off-the-shelf software (e.g. wordprocessing, database and statistical programmes) in general use within their designed application range may be considered to be sufficiently validated. However, laboratory software configuration/modifications should be validated as in 5.4.7.2 a).

## **5.5 Equipment**

**5.5.1** The laboratory shall be furnished with all items of sampling, measurement and test equipment required for the correct performance of the tests and/or calibrations (including sampling, preparation of test and/or calibration items, processing and analysis of test and/or calibration data). In those cases where the laboratory needs to use equipment outside its permanent control, it shall ensure that the requirements of this International Standard are met.

**5.5.2** Equipment and its software used for testing, calibration and sampling shall be capable of achieving the accuracy required and shall comply with specifications relevant to the tests and/or calibrations concerned. Calibration programmes shall be established for key quantities or values of the instruments where these properties have a significant effect on the results. Before being placed into service, equipment (including that used for sampling) shall be calibrated or checked to establish that it meets the laboratory's specification requirements and complies with the relevant standard specifications. It shall be checked and/or calibrated before use (see 5.6).

**5.5.3** Equipment shall be operated by authorized personnel. Up-to-date instructions on the use and maintenance of equipment (including any relevant manuals provided by the manufacturer of the equipment) shall be readily available for use by the appropriate laboratory personnel.

**5.5.4** Each item of equipment and its software used for testing and calibration and significant to the result shall, when practicable, be uniquely identified.

**5.5.5** Records shall be maintained of each item of equipment and its software significant to the tests and/or calibrations performed. The records shall include at least the following:

- a) the identity of the item of equipment and its software;
- b) the manufacturer's name, type identification, and serial number or other unique identification;
- c) checks that equipment complies with the specification (see 5.5.2);
- d) the current location, where appropriate;
- e) the manufacturer's instructions, if available, or reference to their location;
- f) dates, results and copies of reports and certificates of all calibrations, adjustments, acceptance criteria, and the due date of next calibration;
- g) the maintenance plan, where appropriate, and maintenance carried out to date;
- h) any damage, malfunction, modification or repair to the equipment.

**5.5.6** The laboratory shall have procedures for safe handling, transport, storage, use and planned maintenance of measuring equipment to ensure proper functioning and in order to prevent contamination or deterioration.

**NOTE** Additional procedures may be necessary when measuring equipment is used outside the permanent laboratory for tests, calibrations or sampling.

**5.5.7** Equipment that has been subjected to overloading or mishandling, gives suspect results, or has been shown to be defective or outside specified limits, shall be taken out of service. It shall be isolated to prevent its use or clearly labelled or marked as being out of service until it has been repaired and shown by calibration or test to perform correctly. The laboratory shall examine the effect of the defect or departure from specified limits on previous tests and/or calibrations and shall institute the "Control of nonconforming work" procedure (see 4.9).

**5.5.8** Whenever practicable, all equipment under the control of the laboratory and requiring calibration shall be labelled, coded or otherwise identified to indicate the status of calibration, including the date when last calibrated and the date or expiration criteria when recalibration is due.

**5.5.9** When, for whatever reason, equipment goes outside the direct control of the laboratory, the laboratory shall ensure that the function and calibration status of the equipment are checked and shown to be satisfactory before the equipment is returned to service.

**5.5.10** When intermediate checks are needed to maintain confidence in the calibration status of the equipment, these checks shall be carried out according to a defined procedure.

**5.5.11** Where calibrations give rise to a set of correction factors, the laboratory shall have procedures to ensure that copies (e.g. in computer software) are correctly updated.

**5.5.12** Test and calibration equipment, including both hardware and software, shall be safeguarded from adjustments which would invalidate the test and/or calibration results.

## 5.6 Measurement traceability

### 5.6.1 General

All equipment used for tests and/or calibrations, including equipment for subsidiary measurements (e.g. for environmental conditions) having a significant effect on the accuracy or validity of the result of the test, calibration or sampling shall be calibrated before being put into service. The laboratory shall have an established programme and procedure for the calibration of its equipment.

**NOTE** Such a programme should include a system for selecting, using, calibrating, checking, controlling and maintaining measurement standards, reference materials used as measurement standards, and measuring and test equipment used to perform tests and calibrations.

### 5.6.2 Specific requirements

#### 5.6.2.1 Calibration

**5.6.2.1.1** For calibration laboratories, the programme for calibration of equipment shall be designed and operated so as to ensure that calibrations and measurements made by the laboratory are traceable to the International System of Units (SI) (*Système international d'unités*).

A calibration laboratory establishes traceability of its own measurement standards and measuring instruments to the SI by means of an unbroken chain of calibrations or comparisons linking them to relevant primary standards of the SI units of measurement. The link to SI units may be achieved by reference to national measurement standards. National measurement standards may be primary standards, which are primary realizations of the SI units or agreed representations of SI units based on fundamental physical constants, or they may be secondary standards which are standards calibrated by another national metrology institute. When using external calibration services, traceability of measurement shall be assured by the use of calibration services from laboratories that can demonstrate competence, measurement capability and traceability. The calibration certificates issued by these laboratories shall contain the measurement results, including the measurement uncertainty and/or a statement of compliance with an identified metrological specification (see also 5.10.4.2).

**NOTE 1** Calibration laboratories fulfilling the requirements of this International Standard are considered to be competent. A calibration certificate bearing an accreditation body logo from a calibration laboratory accredited to this International Standard, for the calibration concerned, is sufficient evidence of traceability of the calibration data reported.

**NOTE 2** Traceability to SI units of measurement may be achieved by reference to an appropriate primary standard (see VIM:1993, 6.4) or by reference to a natural constant, the value of which in terms of the relevant SI unit is known and recommended by the General Conference of Weights and Measures (CGPM) and the International Committee for Weights and Measures (CIPM).

**NOTE 3** Calibration laboratories that maintain their own primary standard or representation of SI units based on fundamental physical constants can claim traceability to the SI system only after these standards have been compared, directly or indirectly, with other similar standards of a national metrology institute.

**NOTE 4** The term "identified metrological specification" means that it must be clear from the calibration certificate which specification the measurements have been compared with, by including the specification or by giving an unambiguous reference to the specification.

**NOTE 5** When the terms "international standard" or "national standard" are used in connection with traceability, it is assumed that these standards fulfil the properties of primary standards for the realization of SI units.

**NOTE 6** Traceability to national measurement standards does not necessarily require the use of the national metrology institute of the country in which the laboratory is located.

**NOTE 7** If a calibration laboratory wishes or needs to obtain traceability from a national metrology institute other than in its own country, this laboratory should select a national metrology institute that actively participates in the activities of BIPM either directly or through regional groups.

NOTE 8 The unbroken chain of calibrations or comparisons may be achieved in several steps carried out by different laboratories that can demonstrate traceability.

**5.6.2.1.2** There are certain calibrations that currently cannot be strictly made in SI units. In these cases calibration shall provide confidence in measurements by establishing traceability to appropriate measurement standards such as:

- the use of certified reference materials provided by a competent supplier to give a reliable physical or chemical characterization of a material;
- the use of specified methods and/or consensus standards that are clearly described and agreed by all parties concerned.

Participation in a suitable programme of interlaboratory comparisons is required where possible.

### **5.6.2.2 Testing**

**5.6.2.2.1** For testing laboratories, the requirements given in 5.6.2.1 apply for measuring and test equipment with measuring functions used, unless it has been established that the associated contribution from the calibration contributes little to the total uncertainty of the test result. When this situation arises, the laboratory shall ensure that the equipment used can provide the uncertainty of measurement needed.

NOTE The extent to which the requirements in 5.6.2.1 should be followed depends on the relative contribution of the calibration uncertainty to the total uncertainty. If calibration is the dominant factor, the requirements should be strictly followed.

**5.6.2.2.2** Where traceability of measurements to SI units is not possible and/or not relevant, the same requirements for traceability to, for example, certified reference materials, agreed methods and/or consensus standards, are required as for calibration laboratories (see 5.6.2.1.2).

### **5.6.3 Reference standards and reference materials**

#### **5.6.3.1 Reference standards**

The laboratory shall have a programme and procedure for the calibration of its reference standards. Reference standards shall be calibrated by a body that can provide traceability as described in 5.6.2.1. Such reference standards of measurement held by the laboratory shall be used for calibration only and for no other purpose, unless it can be shown that their performance as reference standards would not be invalidated. Reference standards shall be calibrated before and after any adjustment.

#### **5.6.3.2 Reference materials**

Reference materials shall, where possible, be traceable to SI units of measurement, or to certified reference materials. Internal reference materials shall be checked as far as is technically and economically practicable.

#### **5.6.3.3 Intermediate checks**

Checks needed to maintain confidence in the calibration status of reference, primary, transfer or working standards and reference materials shall be carried out according to defined procedures and schedules.

#### **5.6.3.4 Transport and storage**

The laboratory shall have procedures for safe handling, transport, storage and use of reference standards and reference materials in order to prevent contamination or deterioration and in order to protect their integrity.

NOTE Additional procedures may be necessary when reference standards and reference materials are used outside the permanent laboratory for tests, calibrations or sampling.



## 5.7 Sampling

**5.7.1** The laboratory shall have a sampling plan and procedures for sampling when it carries out sampling of substances, materials or products for subsequent testing or calibration. The sampling plan as well as the sampling procedure shall be available at the location where sampling is undertaken. Sampling plans shall, whenever reasonable, be based on appropriate statistical methods. The sampling process shall address the factors to be controlled to ensure the validity of the test and calibration results.

**NOTE 1** Sampling is a defined procedure whereby a part of a substance, material or product is taken to provide for testing or calibration of a representative sample of the whole. Sampling may also be required by the appropriate specification for which the substance, material or product is to be tested or calibrated. In certain cases (e.g. forensic analysis), the sample may not be representative but is determined by availability.

**NOTE 2** Sampling procedures should describe the selection, sampling plan, withdrawal and preparation of a sample or samples from a substance, material or product to yield the required information.

**5.7.2** Where the customer requires deviations, additions or exclusions from the documented sampling procedure, these shall be recorded in detail with the appropriate sampling data and shall be included in all documents containing test and/or calibration results, and shall be communicated to the appropriate personnel.

**5.7.3** The laboratory shall have procedures for recording relevant data and operations relating to sampling that forms part of the testing or calibration that is undertaken. These records shall include the sampling procedure used, the identification of the sampler, environmental conditions (if relevant) and diagrams or other equivalent means to identify the sampling location as necessary and, if appropriate, the statistics the sampling procedures are based upon.

## 5.8 Handling of test and calibration items

**5.8.1** The laboratory shall have procedures for the transportation, receipt, handling, protection, storage, retention and/or disposal of test and/or calibration items, including all provisions necessary to protect the integrity of the test or calibration item, and to protect the interests of the laboratory and the customer.

**5.8.2** The laboratory shall have a system for identifying test and/or calibration items. The identification shall be retained throughout the life of the item in the laboratory. The system shall be designed and operated so as to ensure that items cannot be confused physically or when referred to in records or other documents. The system shall, if appropriate, accommodate a sub-division of groups of items and the transfer of items within and from the laboratory.

**5.8.3** Upon receipt of the test or calibration item, abnormalities or departures from normal or specified conditions, as described in the test or calibration method, shall be recorded. When there is doubt as to the suitability of an item for test or calibration, or when an item does not conform to the description provided, or the test or calibration required is not specified in sufficient detail, the laboratory shall consult the customer for further instructions before proceeding and shall record the discussion.

**5.8.4** The laboratory shall have procedures and appropriate facilities for avoiding deterioration, loss or damage to the test or calibration item during storage, handling and preparation. Handling instructions provided with the item shall be followed. When items have to be stored or conditioned under specified environmental conditions, these conditions shall be maintained, monitored and recorded. Where a test or calibration item or a portion of an item is to be held secure, the laboratory shall have arrangements for storage and security that protect the condition and integrity of the secured items or portions concerned.

**NOTE 1** Where test items are to be returned into service after testing, special care is required to ensure that they are not damaged or injured during the handling, testing or storing/waiting processes.

**NOTE 2** A sampling procedure and information on storage and transport of samples, including information on sampling factors influencing the test or calibration result, should be provided to those responsible for taking and transporting the samples.

**NOTE 3** Reasons for keeping a test or calibration item secure can be for reasons of record, safety or value, or to enable complementary tests and/or calibrations to be performed later.

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited



## 5.9 Assuring the quality of test and calibration results

**5.9.1** The laboratory shall have quality control procedures for monitoring the validity of tests and calibrations undertaken. The resulting data shall be recorded in such a way that trends are detectable and, where practicable, statistical techniques shall be applied to the reviewing of the results. This monitoring shall be planned and reviewed and may include, but not be limited to, the following:

- a) regular use of certified reference materials and/or internal quality control using secondary reference materials;
- b) participation in interlaboratory comparison or proficiency-testing programmes;
- c) replicate tests or calibrations using the same or different methods;
- d) retesting or recalibration of retained items;
- e) correlation of results for different characteristics of an item.

NOTE The selected methods should be appropriate for the type and volume of the work undertaken.

**5.9.2** Quality control data shall be analysed and, where they are found to be outside pre-defined criteria, planned action shall be taken to correct the problem and to prevent incorrect results from being reported.

## 5.10 Reporting the results

### 5.10.1 General

The results of each test, calibration, or series of tests or calibrations carried out by the laboratory shall be reported accurately, clearly, unambiguously and objectively, and in accordance with any specific instructions in the test or calibration methods.

The results shall be reported, usually in a test report or a calibration certificate (see Note 1), and shall include all the information requested by the customer and necessary for the interpretation of the test or calibration results and all information required by the method used. This information is normally that required by 5.10.2, and 5.10.3 or 5.10.4.

In the case of tests or calibrations performed for internal customers, or in the case of a written agreement with the customer, the results may be reported in a simplified way. Any information listed in 5.10.2 to 5.10.4 which is not reported to the customer shall be readily available in the laboratory which carried out the tests and/or calibrations.

NOTE 1 Test reports and calibration certificates are sometimes called test certificates and calibration reports, respectively.

NOTE 2 The test reports or calibration certificates may be issued as hard copy or by electronic data transfer provided that the requirements of this International Standard are met.

### 5.10.2 Test reports and calibration certificates

Each test report or calibration certificate shall include at least the following information, unless the laboratory has valid reasons for not doing so:

- a) a title (e.g. "Test Report" or "Calibration Certificate");
- b) the name and address of the laboratory, and the location where the tests and/or calibrations were carried out, if different from the address of the laboratory;

- c) unique identification of the test report or calibration certificate (such as the serial number), and on each page an identification in order to ensure that the page is recognized as a part of the test report or calibration certificate, and a clear identification of the end of the test report or calibration certificate;
- d) the name and address of the customer;
- e) identification of the method used;
- f) a description of, the condition of, and unambiguous identification of the item(s) tested or calibrated;
- g) the date of receipt of the test or calibration item(s) where this is critical to the validity and application of the results, and the date(s) of performance of the test or calibration;
- h) reference to the sampling plan and procedures used by the laboratory or other bodies where these are relevant to the validity or application of the results;
- i) the test or calibration results with, where appropriate, the units of measurement;
- j) the name(s), function(s) and signature(s) or equivalent identification of person(s) authorizing the test report or calibration certificate;
- k) where relevant, a statement to the effect that the results relate only to the items tested or calibrated.

NOTE 1 Hard copies of test reports and calibration certificates should also include the page number and total number of pages.

NOTE 2 It is recommended that laboratories include a statement specifying that the test report or calibration certificate shall not be reproduced except in full, without written approval of the laboratory.

### 5.10.3 Test reports

**5.10.3.1** In addition to the requirements listed in 5.10.2, test reports shall, where necessary for the interpretation of the test results, include the following:

- a) deviations from, additions to, or exclusions from the test method, and information on specific test conditions, such as environmental conditions;
- b) where relevant, a statement of compliance/non-compliance with requirements and/or specifications;
- c) where applicable, a statement on the estimated uncertainty of measurement; information on uncertainty is needed in test reports when it is relevant to the validity or application of the test results, when a customer's instruction so requires, or when the uncertainty affects compliance to a specification limit;
- d) where appropriate and needed, opinions and interpretations (see 5.10.5);
- e) additional information which may be required by specific methods, customers or groups of customers.

**5.10.3.2** In addition to the requirements listed in 5.10.2 and 5.10.3.1, test reports containing the results of sampling shall include the following, where necessary for the interpretation of test results:

- a) the date of sampling;
- b) unambiguous identification of the substance, material or product sampled (including the name of the manufacturer, the model or type of designation and serial numbers as appropriate);
- c) the location of sampling, including any diagrams, sketches or photographs;
- d) a reference to the sampling plan and procedures used;

- e) details of any environmental conditions during sampling that may affect the interpretation of the test results;
- f) any standard or other specification for the sampling method or procedure, and deviations, additions to or exclusions from the specification concerned.

#### 5.10.4 Calibration certificates

**5.10.4.1** In addition to the requirements listed in 5.10.2, calibration certificates shall include the following, where necessary for the interpretation of calibration results:

- a) the conditions (e.g. environmental) under which the calibrations were made that have an influence on the measurement results;
- b) the uncertainty of measurement and/or a statement of compliance with an identified metrological specification or clauses thereof;
- c) evidence that the measurements are traceable (see Note 2 in 5.6.2.1.1).

**5.10.4.2** The calibration certificate shall relate only to quantities and the results of functional tests. If a statement of compliance with a specification is made, this shall identify which clauses of the specification are met or not met.

When a statement of compliance with a specification is made omitting the measurement results and associated uncertainties, the laboratory shall record those results and maintain them for possible future reference.

When statements of compliance are made, the uncertainty of measurement shall be taken into account.

**5.10.4.3** When an instrument for calibration has been adjusted or repaired, the calibration results before and after adjustment or repair, if available, shall be reported.

**5.10.4.4** A calibration certificate (or calibration label) shall not contain any recommendation on the calibration interval except where this has been agreed with the customer. This requirement may be superseded by legal regulations.

#### 5.10.5 Opinions and interpretations

When opinions and interpretations are included, the laboratory shall document the basis upon which the opinions and interpretations have been made. Opinions and interpretations shall be clearly marked as such in a test report.

**NOTE 1** Opinions and interpretations should not be confused with inspections and product certifications as intended in ISO/IEC 17020 and ISO/IEC Guide 65.

**NOTE 2** Opinions and interpretations included in a test report may comprise, but not be limited to, the following:

- an opinion on the statement of compliance/noncompliance of the results with requirements;
- fulfilment of contractual requirements;
- recommendations on how to use the results;
- guidance to be used for improvements.

**NOTE 3** In many cases it might be appropriate to communicate the opinions and interpretations by direct dialogue with the customer. Such dialogue should be written down.

#### 5.10.6 Testing and calibration results obtained from subcontractors

When the test report contains results of tests performed by subcontractors, these results shall be clearly identified. The subcontractor shall report the results in writing or electronically.

When a calibration has been subcontracted, the laboratory performing the work shall issue the calibration certificate to the contracting laboratory.

#### 5.10.7 Electronic transmission of results

In the case of transmission of test or calibration results by telephone, telex, facsimile or other electronic or electromagnetic means, the requirements of this International Standard shall be met (see also 5.4.7).

#### 5.10.8 Format of reports and certificates

The format shall be designed to accommodate each type of test or calibration carried out and to minimize the possibility of misunderstanding or misuse.

NOTE 1 Attention should be given to the lay-out of the test report or calibration certificate, especially with regard to the presentation of the test or calibration data and ease of assimilation by the reader.

NOTE 2 The headings should be standardized as far as possible.

#### 5.10.9 Amendments to test reports and calibration certificates

Material amendments to a test report or calibration certificate after issue shall be made only in the form of a further document, or data transfer, which includes the statement:

“Supplement to Test Report [or Calibration Certificate], serial number... [or as otherwise identified]”,  
or an equivalent form of wording.

Such amendments shall meet all the requirements of this International Standard.

When it is necessary to issue a complete new test report or calibration certificate, this shall be uniquely identified and shall contain a reference to the original that it replaces.

## Annex A (informative)

### Nominal cross-references to ISO 9001:2000

Table A.1 — Nominal cross-references to ISO 9001:2000

ISO 9001:2000	ISO/IEC 17025
Clause 1	Clause 1
Clause 2	Clause 2
Clause 3	Clause 3
4.1	4.1, 4.1.1, 4.1.2, 4.1.3, 4.1.4, 4.1.5, 4.2, 4.2.1, 4.2.2, 4.2.3, 4.2.4
4.2.1	4.2.2, 4.2.3, 4.3.1
4.2.2	4.2.2, 4.2.3, 4.2.4
4.2.3	4.3
4.2.4	4.3.1, 4.12
5.1	4.2.2, 4.2.3
5.1 a)	4.1.2, 4.1.6
5.1 b)	4.2.2
5.1 c)	4.2.2
5.1 d)	4.15
5.1 e)	4.1.5
5.2	4.4.1
5.3	4.2.2
5.3 a)	4.2.2
5.3 b)	4.2.3
5.3 c)	4.2.2
5.3 d)	4.2.2
5.3 e)	4.2.2
5.4.1	4.2.2 c)
5.4.2	4.2.1
5.4.2 a)	4.2.1
5.4.2 b)	4.2.1
5.5.1	4.1.5 a), f), h)
5.5.2	4.1.5 i)
5.5.2 a)	4.1.5 i)
5.5.2 b)	4.11.1
5.5.2 c)	4.2.4
5.5.3	4.1.6
5.6.1	4.15
5.6.2	4.15
5.6.3	4.15

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

ISO 9001:2000	ISO/IEC 17025
6.1 a)	4.10
6.1 b)	4.4.1, 4.7, 5.4.2, 5.4.3, 5.4.4, 5.10.1
6.2.1	5.2.1
6.2.2 a)	5.2.2, 5.5.3
6.2.2 b)	5.2.1, 5.2.2
6.2.2 c)	5.2.2
6.2.2 d)	4.1.5 k)
6.2.2 e)	5.2.5
6.3.1 a)	4.1.3, 4.12.1.2, 4.12.1.3, 5.3
6.3.1 b)	4.12.1.4, 5.4.7.2, 5.5, 5.6
6.3.1 c)	4.6, 5.5.6, 5.6.3.4, 5.8, 5.10
6.4	5.3.1, 5.3.2, 5.3.3, 5.3.4, 5.3.5
7.1	5.1
7.1 a)	4.2.2
7.1 b)	4.1.5 a), 4.2.1, 4.2.3
7.1 c)	5.4, 5.9
7.1 d)	4.1, 5.4, 5.9
7.2.1	4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.4.5, 5.4, 5.9, 5.10
7.2.2	4.4.1, 4.4.2, 4.4.3, 4.4.4, 4.4.5, 5.4, 5.9, 5.10
7.2.3	4.4.2, 4.4.4, 4.5, 4.7, 4.8
7.3	5, 5.4, 5.9
7.4.1	4.6.1, 4.6.2, 4.6.4
7.4.2	4.6.3
7.4.3	4.6.2
7.5.1	5.1, 5.2, 5.4, 5.5, 5.6, 5.7, 5.8, 5.9
7.5.2	5.2.5, 5.4.2, 5.4.5
7.5.3	5.8.2
7.5.4	4.1.5 c), 5.8
7.5.5	4.6.1, 4.12, 5.8, 5.10
7.6	5.4, 5.5
8.1	4.10, 5.4, 5.9
8.2.1	4.10
8.2.2	4.11.5, 4.14
8.2.3	4.11.5, 4.14, 5.9
8.2.4	4.5, 4.6, 4.9, 5.5.2, 5.5.9, 5.8, 5.8.3, 5.8.4, 5.9
8.3	4.9
8.4	4.10, 5.9
8.5.1	4.10, 4.12
8.5.2	4.11, 4.12
8.5.3	4.9, 4.11, 4.12

ISO/IEC 17025 covers several technical competence requirements that are not covered by ISO 9001:2000.

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
 ISO Store order #:919628/Downloaded:2008-06-10  
 Single user licence only, copying and networking prohibited

## **Annex B** (informative)

### **Guidelines for establishing applications for specific fields**

**B.1** The requirements specified in this International Standard are stated in general terms and, while they are applicable to all test and calibration laboratories, explanations might be needed. Such explanations on applications are herein referred to as applications. Applications should not include additional general requirements not included in this International Standard.

**B.2** Applications can be thought of as an elaboration of the generally stated criteria (requirements) of this International Standard for specified fields of test and calibration, test technologies, products, materials or specific tests or calibrations. Accordingly, applications should be established by persons having appropriate technical knowledge and experience, and should address items that are essential or most important for the proper conduct of a test or calibration.

**B.3** Depending on the application at hand, it may be necessary to establish applications for the technical requirements of this International Standard. Establishing applications may be accomplished by simply providing detail or adding extra information to the already generally stated requirements in each of the clauses (e.g. specific limitations to the temperature and humidity in the laboratory).

In some cases the applications will be quite limited, applying only to a given test or calibration method or to a group of calibration or test methods. In other cases the applications may be quite broad, applying to the testing or calibration of various products or items or to entire fields of testing or calibration.

**B.4** If the applications apply to a group of test or calibration methods in an entire technical field, common wording should be used for all of the methods.

Alternatively, it may be necessary to develop a separate document of applications to supplement this International Standard for specific types or groups of tests or calibrations, products, materials or technical fields of tests or calibrations. Such a document should provide only the necessary supplementary information, while maintaining this International Standard as the governing document through reference. Applications which are too specific should be avoided in order to limit the proliferation of detailed documents.

**B.5** The guidance in this annex should be used by accreditation bodies and other types of evaluation bodies when they develop applications for their own purposes (e.g. accreditation in specific areas).

## Bibliography

- [1] ISO 5725-1, *Accuracy (trueness and precision) of measurement methods and results — Part 1: General principles and definitions*
- [2] ISO 5725-2, *Accuracy (trueness and precision) of measurement methods and results — Part 2: Basic method for the determination of repeatability and reproducibility of a standard measurement method*
- [3] ISO 5725-3, *Accuracy (trueness and precision) of measurement methods and results — Part 3: Intermediate measures of the precision of a standard measurement method*
- [4] ISO 5725-4, *Accuracy (trueness and precision) of measurement methods and results — Part 4: Basic methods for the determination of the trueness of a standard measurement method*
- [5] ISO 5725-6, *Accuracy (trueness and precision) of measurement methods and results — Part 6: Use in practice of accuracy values*
- [6] ISO 9000:—<sup>1)</sup>, *Quality management systems — Fundamentals and vocabulary*
- [7] ISO 9001:2000, *Quality management systems — Requirements*
- [8] ISO/IEC 90003, *Software engineering — Guidelines for the application of ISO 9001:2000 to computer software*
- [9] ISO 10012:2003, *Measurement management systems — Requirements for measurement processes and measuring equipment*
- [10] ISO/IEC 17011, *Conformity assessment — General requirements for accreditation bodies accrediting conformity assessment bodies*
- [11] ISO/IEC 17020, *General criteria for the operation of various types of bodies performing inspection*
- [12] ISO 19011, *Guidelines for quality and/or environmental management systems auditing*
- [13] ISO Guide 30, *Terms and definitions used in connection with reference materials*
- [14] ISO Guide 31, *Reference materials — Contents of certificates and labels*
- [15] ISO Guide 32, *Calibration in analytical chemistry and use of certified reference materials*
- [16] ISO Guide 33, *Uses of certified reference materials*
- [17] ISO Guide 34, *General requirements for the competence of reference material producers*
- [18] ISO Guide 35, *Certification of reference materials — General and statistical principles*
- [19] ISO/IEC Guide 43-1, *Proficiency testing by interlaboratory comparisons — Part 1: Development and operation of proficiency testing schemes*
- [20] ISO/IEC Guide 43-2, *Proficiency testing by interlaboratory comparisons — Part 2: Selection and use of proficiency testing schemes by laboratory accreditation bodies*

---

1) To be published. (Revision of ISO 9000:2000)



- [21] ISO/IEC Guide 58:1993, *Calibration and testing laboratory accreditation systems — General requirements for operation and recognition*
- [22] ISO/IEC Guide 65, *General requirements for bodies operating product certification systems*
- [23] GUM, *Guide to the Expression of Uncertainty in Measurement*, issued by BIPM, IEC, IFCC, ISO, IUPAC, IUPAP and OIML
- [24] Information and documents on laboratory accreditation can be found on the ILAC (International Laboratory Accreditation Cooperation): [www.ilac.org](http://www.ilac.org)

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

---

**ICS 03.120.20**

Price based on 28 pages

Licensed to ASCLD CONSULTING, LLC/JOSEPH BONO  
ISO Store order #:919628/Downloaded:2008-06-10  
Single user licence only, copying and networking prohibited

© ISO 2005 — All rights reserved

# **GOLDBACH ATTACHMENT K**



# French & Electric BLUE



## Alert Troopers Capture Fugitive



**In This Issue:**



**Responding to NEMO**

**MSP Academy**



**Update**

**CODIS**



**And Much More!**

<http://www.mass.gov/eopss/agencies/msp>

# CRIME LAB: PAST, PRESENT, AND FUTURE

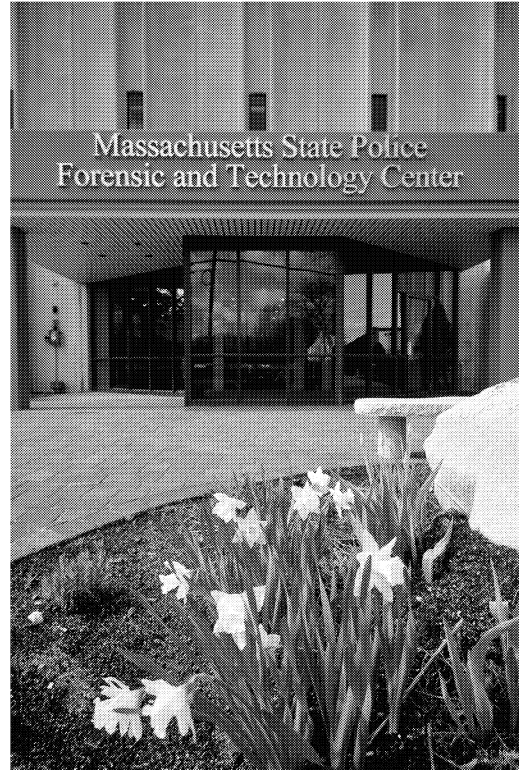
The Massachusetts State Police (MSP) offered forensic services to its stakeholders as far back as 1921. In 1925, the Crime Laboratory was formally created and moved into a facility at the Commonwealth Pier in Boston. At that time, the Crime Laboratory was known as the Department of Public Safety Bureau of Expert Assistants. In 1953, the lab moved to 1010 Commonwealth Avenue in Boston, which was also the location of GHQ for many years. Then as now, the state crime lab was managed and overseen by the MSP. The main focus of forensics included chemical analysis for blood identification and grouping; fire, bomb, and explosives analysis; hair and fiber analysis; drug, poison and illegal liquor analysis; and photography, fingerprint, and ballistics. In those days, the lab handled approximately 200-300 cases a year compared to approximately 25,000 handled today.

In 1991, the Department consolidated its forensic services and the lab became known as the Massachusetts State Police Crime Lab. In 1994, the lab moved from 1010 to a converted elementary school and firefighters' academy at 59 Horse Pond Road in Sudbury. The Sudbury Lab consists of approximately 22,000 square feet.

During this time, the Crime Laboratory made dramatic strides to further professionalize the services provided by obtaining accreditation. In 2002, the DNA analysis and drug testing units were accredited by the American Society of Crime



1010 Commonwealth Avenue



Crime Lab, Maynard Facility

Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB). With this success came more demand for services, particularly in DNA testing and analysis. Consequently, more space was needed for a growing system.

In 2005 the Department acquired an additional 12,000 square feet of lab space at 142 North Road in North Sudbury. In 2006, the Department of State Police Forensic and Technology Center opened at 124 Acton Street in Maynard. The MSP Crime Lab consolidated with Crime Scene Services, Firearms Identification, and Digital Evidence/Multi-Media. Since that time, all of the Department's forensic entities have been known as the Forensic Services Group.

The Maynard facility is comprised of approximately 68,000 square feet and is the main administrative and laboratory facility of the MSP Forensic Services Group. In the near future the Maynard facility will expand by another 25,000 square feet to include a 4,270 square foot academically-themed training and conference room. This room will feature stadium seating for

approximately eighty individuals and will provide enhanced audio and visual training tools.

In 2006, the MSP Forensic Services Group established satellite labs in Boston, Springfield, Lakeville, Bourne, and Danvers in order to better meet statewide needs.

To further the laboratory's pursuit of excellence, the MSP Forensic Services Group received accreditation from ASCLD/LAB in all disciplines, (except the Office of Alcohol Testing) in 2009.

On July 1, 2012 the State Legislature transferred the controlled substance laboratories previously controlled and operated by the Department of Public Health (DPH) to the Department of State Police Crime Laboratory. At that time, the MSP inherited the two drug labs (Jamaica Plain and Amherst) that were previously managed and overseen by the DPH. This legislative action transferred all of the previous DPH employees and cases to the MSP.

During the transition process, Major James Connolly, Commanding Officer of the MSP Forensic Services Group, became aware of a serious breach of protocol by a former DPH employee in an evidence room at the Jamaica Plain lab. In addition, the employee's co-workers expressed concern that she was involved in other types of inappropriate lab practices.

The Massachusetts State Police immediately began an investigation into the matter. Detective Captain Joseph Mason, Commanding Officer of the Forensic Services System, and Detective Lieutenant Robert Irwin, Commanding Officer of the Attorney General's State Police Detective Unit (SPDU), spearheaded the Department's efforts. The result of their investigation has been well documented and publicized. The former Department of Public Health lab analyst in question, Annie Dookhan, has been charged with various criminal violations as a result of her alleged misconduct. Furthermore, the Jamaica Plain lab was ordered closed by Governor Patrick in August.

On January 18, 2013, Sonja Farak, another former employee of the Department of Public Health laboratory system, was arrested and charged with illegally possessing cocaine and heroin with the intent to distribute. Farak, who worked at the DPH lab in Amherst as a drug analyst, was arrested as the result



of an investigation conducted by the Hampshire-Franklin SPDU and the Attorney General's SPDU. The Massachusetts State Police's firm handling of these cases illustrates the Department's commitment to integrity, maintaining public trust, and preserving justice -- we hold these as our highest priorities. These cases also demonstrate the need for the strict lab practices that are inherent in an accredited lab such as ours.

As of this writing, 235 members of the Department are assigned to the Forensic Services Group. The Forensic Services Group is organized as follows: Forensic Biology, including DNA and the DNA CODIS databank, Criminalistics, and Bomb, Arson, and Trace; Forensic Chemistry to include Drug Analysis, Toxicology Analysis and the Office of Alcohol Testing; and the Forensic Services System to include Crime Scene Services, Firearm Identification, Digital Evidence and Multi-Media, and CODIS Collection and Investigations. The system is continuing its commitment to professional excellence in forensic testing and has applied for the rigorous accreditation standard ISO 17025. A system wide inspection by this group will be conducted in June, 2013.

COMMONWEALTH OF MASSACHUSETTS

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEY for Suffolk  
County, et al.,

Defendants.

SUPREME JUDICIAL COURT FOR  
SUFFOLK COUNTY  
DOCKET NO.:

AFFIDAVIT OF NANCY J. CAPLAN

Now comes Nancy J. Caplan and states upon information and belief that:

1. I am the Attorney in Charge of the Committee for Public Counsel Services' Drug Lab Crisis Litigation Unit (CPCS/DLCLU), created in April of 2013 to handle indigent defense matters arising out of the shutdown of the Department of Health's Hinton Drug Lab and the associated allegations of wrongdoing by chemist Annie Dookhan.

2. This affidavit is based upon my personal knowledge and information gleaned from communication with the attorneys I



supervise, communications with other CPCS staff attorneys and bar advocates, and my review of pleadings and decisions in post-conviction proceedings initiated as a result of the Dookhan misconduct and the shutdown of the Hinton Drug Lab.

3. The attorneys of the DLCLU, myself and two staff attorneys, have been representing indigent defendants convicted in drug cases where the alleged narcotics were tested by Annie Dookhan or where the alleged narcotics were tested at the Hinton Drug Lab during Dookhan's 2003 - 2012 tenure. On behalf of these individuals, we have been seeking relief from convictions based upon evidence tainted by Dookhan's misconduct and the mismanagement of the Hinton Drug Lab.

4. DLCLU attorneys also provide advice and training to CPCS staff attorneys and bar advocates handling so-called "lab cases."

5. DLCLU attorneys, along with one staff investigator, are also working on identifying, locating and counseling indigent defendants convicted in Dookhan cases, who have not yet received the advice of counsel, about the possibility of seeking relief from their tainted convictions.

6. Our work spans the eight counties affected by the Hinton failure, but it is concentrated in Suffolk, Plymouth, Essex, Middlesex and Norfolk Counties.

7. Prosecutorial approaches to the litigation of lab cases have varied from county to county. In Middlesex County, for a period of time (fall 2012 to mid-spring 2013) the District Attorney's Office agreed to motions to vacate guilty pleas in drug cases where Annie Dookhan was one of the analyzing chemists and, thereafter, filed nolle prosequis relative to all drug counts. Since the spring of this year, the Middlesex District Attorney's Office's has filed oppositions to lab case new trial motions, pressing courts to continue or refrain from acting on the motions until the Supreme Judicial Court decides the Bjork suite of cases.

8. Prosecutors' approaches to lab case stays and bails have varied considerably. In Essex County, substantial bails were often requested by prosecutors and imposed in lab cases, leaving persons with meritorious new trial motions in custody pending resolution of those motions. In Suffolk County, bail amounts requested by prosecutors have tended to be more nominal.

9. In Suffolk County, prosecutors have generally been willing to agree to "re-plea" deals, for less incarceration than that imposed originally, in cases where Annie Dookhan was the primary or the secondary chemist in the analysis of the alleged narcotics. Plymouth County operated similarly until May of this year, when an individual was arrested on murder charges after

having been released from prison upon the vacating of his Dookhan-analysis based drug conviction and the dismissal of charges (due to the destruction of the alleged narcotics). Since that time, reasonable deals have been extremely hard to come by and have been limited to, generally, cases in which Dookhan acted as the primary chemist.

10. Significant aspects of the new trial motion process have varied between counties due to variances in prosecutorial practice. In Essex, Plymouth and Middlesex Counties, defendants are generally able to submit into evidence, at new trial motion evidentiary hearings, their own affidavits and affidavits of plea counsel, without objection by the Commonwealth. In Suffolk County, prosecutors have indicated that they will not agree to the admission of such affidavits, except under unusual circumstances (e.g. defendant in Federal custody).

11. The availability of discovery has changed over time. Prior to June, 2013, defendants litigating new trial motions were unable to get the Hinton Lab documents uniquely associated with the analyses of the alleged narcotics in their cases. Starting in June, 2013, prosecutors have become increasingly able to provide such documents within a reasonable time frame.

12. Discovery *not* tagged to particular sample numbers, yet significant to the litigation of lab case new trial motions, has

been much more difficult to obtain. The provision of discovery relating to quality control/quality assurance measures called for relative to lab instruments, standards and re-agents, for example, has been spotty, at best.

13. Defendants have also had difficulties obtaining *definitive sets* of "training materials" and lab operation protocols and policies for any particular time frame. These problems seem to arise, in part, out of the fact that the scanning of Hinton Drug Lab records (performed by the Inspector General's Office) was geared to find and produce case-specific testing documents, to be searched for by sample number. While a "key word" search is also available, categorical searches for materials in the above-described areas have not produced results that can be relied upon as complete or comprehensive - the Commonwealth has assiduously refrained from assuring defense attorneys in lab cases that what has been provided represents a "complete set."

14. The scanned data from Hinton is problematic in other ways. I have been told that handwritten documents (reagent logbooks, for example) were not amenable to optical character recognition (OCR) processes so they are not searchable.

15. I have also been advised that documents with GC/MS graphs are only searchable by sample number even though the

initials of the GC/MS operator appear in text at the top of the page. (GC/MS "graphs" are the actual data output of GC/MS analysis. See affidavit of Anne Goldbach at paragraphs 34 - 36 regarding the nature and significance of GC/MS testing in general and paragraphs 26 - 33 regarding GC/MS processes at Hinton.)

16. I have discovered several instances where Dookhan set up and executed GC/MS runs but did not appear on the certificates of analysis as the secondary chemist. CPCS has asked for disclosure of all instances in which Dookhan played this significant role. Because of the limitations of the scanned Hinton data described above, obtaining this information is likely to prove extremely difficult.

17. CPCS has attempted to obtain materials, such as those described above, broadly relevant to the litigation of lab case new trial motions. To date, there has been no mechanism for accomplishing this goal. Very recently, the possibility of progress along these lines has arisen but production of needed materials will be challenged by the difficulties and limitations of the scanned data.

18. We encounter many defendants who would like to seek relief from drug convictions tainted by Dookhan's misconduct and the mismanagement of the Hinton Drug Lab. We evaluate the merits

of each defendant's new trial motion and assess the risk for each defendant in the "re-opening" of his case should his plea be vacated.

19. Many defendants received charge concessions in exchange for their guilty pleas. Quite often, these charge concessions involved the dismissal of counts carrying mandatory periods of incarceration, school zone violations for example. In other cases, charge concessions involved the elimination of sentencing enhancements carrying mandatory prison sentences (e.g. subsequent offender) and/or the reduction of a drug trafficking count to a lower level trafficking offense or to a drug offense with no mandatory.

20. Many defendants seeking relief in this area have finished their prison sentences and/or completed their periods of probation.

21. Based on concerns about how courts might interpret the law, we must advise defendants who wish to proceed with lab case new trial motions, that a successful new trial motion could result in the re-activation of all counts as originally charged. On hearing this, many defendants, fearing further or increased incarceration, decide not to pursue seek relief from their tainted drug convictions.

22. Many of the defendants who so decide are suffering from the collateral consequences of the tainted convictions (e.g. in the areas of housing and employment). They decide they will continue to suffer these collateral consequences rather than risk further incarceration.

23. The fears that motivate defendants to withdraw or refrain from filing lab case new trial motions were realized in the Essex County case of Commonwealth v. Angel Rodriguez (ESCR07-0875).

24. Mr. Rodriguez was indicted in 2007 for trafficking in cocaine over 100 grams. In early 2008 he pleaded guilty to a reduced charge of trafficking in cocaine over 28 grams, receiving a state prison sentence of 5 to 7 years.

25. In October of 2012, after the revelations of Annie Dookhan's misconduct and the mismanagement of the Hinton Drug Lab, Mr. Rodriguez filed a motion to vacate his 2008 guilty plea (Dookhan had been involved in the analysis of the alleged narcotics in his case). In May of 2013, his motion was allowed. In November of 2013, Mr. Rodriguez went to trial before a jury on the indictment as originally charged: trafficking in cocaine over 100 grams. He was convicted and sentenced to 8 years to 8 years and 1 day in state prison.

26. The conviction and sentencing of Mr. Rodriguez, after what was probably the first trial of a defendant whose plea was vacated due to the Dookhan misconduct, received media attention. Defendants in Essex County and beyond have heard about what happened to Mr. Rodriguez. Attorneys representing defendants in lab cases use the Rodriguez case as an illustration of the risks inherent in the litigation of a new trial motion, particularly in cases where charge concessions made in connection with the original guilty plea resulted in the elimination of some or all mandatory prison sentences.

27. The example of Angel Rodriguez adds to the fears of defendants who might file lab case new trial motions, that their pursuit of relief from a conviction tainted by government misconduct might result in the imposition of even harsher punishment than that previously imposed.

28. CPCS staff have been engaged in the process of attempting to identify and locate indigent defendants convicted in drug cases in which Annie Dookhan was involved in the analysis of the alleged drugs.

29. In September, 2012 a Task Force established by Governor Patrick was established to identify all persons "affected by the alleged conduct of Chemist Annie Dookhan at the Hinton Drug Laboratory. . . from 2003 to the present." Attorney



David Meier was appointed to lead the Task Force. (*The Identification of Individuals Potentially Affected by the Alleged Conduct of Chemist Annie Dookhan at the Hinton Drug Laboratory, Final Report to Governor Deval Patrick, David E. Meier, Special Counsel to the Governor's Office, August 2013,*) (Meier Report, p. 2).

30. The purpose of the Task Force, as stated by Meier in his Final Report, was to "ensure that prosecutors, defense attorneys and judges were provided with as much information as possible about the identity of those individuals potentially affected, so as to enable them to respond appropriately to the alleged misconduct from their respective positions within the criminal justice system." (Meier Report, p. 2.)

31. In September, 2012, Meier's group generated, from Hinton data, a list of about 37,500 individuals whose samples of alleged narcotics had been tested by Dookhan, as primary or secondary chemist, between 2003 and 2012.

32. This list was provided to CPCS and CPCS then began the process of identifying and locating past and present clients who might have claims for relief.

33. Shortcomings in the "manner in which information and data were recorded and maintained at the Hinton Laboratory" necessitated that additional measures be taken towards the goal

of "accurately identify[ing] by true full name as many of the individuals on the list as possible." (Meier Report, p. 5.)

34. In August, 2013, Meier issued a revised, updated list of 40,323 individuals whose samples of alleged narcotics had been tested by Dookhan, as primary or secondary chemist, between 2003 and 2012 (Meier list). Meier indicates, in the report which accompanies the list, that he was able to amplify the September lists through a "by-hand, file-by-file review of individual [Hinton Drug] laboratory documents." (Meier Report, p. 9.)

35. This list was provided to CPCS and other criminal justice entities. With this updated list, CPCS has continued its efforts to identify and locate past and present clients who might have claims for relief from convictions based upon evidence tainted by Dookhan's misconduct and the mismanagement of the Hinton Drug Lab.

36. Since the Meier list is based solely upon Hinton Lab data, it lacks information that is highly significant to the process CPCS must undertake. The list contains no birthdates or social security numbers for the 40,323 names it reflects. Where common names are involved, some names are misspelled, or compound names incorrectly noted, in the absence of more precise identifiers accurate identification is compromised.

37. Drug Receipts - forms filled out by police officers upon the submission of substances to the lab - attached to the Meier list as PDF's, provide addresses for some of the names on the list. The Drug Receipt form most commonly used outside of Boston did not call for addresses. The Boston Police Department form *did* call for addresses but some versions of this form suffer from the fact that they contained only two lines for defendants, causing the list to be under-inclusive in some cases involving more than two defendants.

38. Many of the addresses reflected in the drug receipts are, by definition, as much as ten years old and, as such, are of limited utility in locating individuals in a low-income population in which few own their own homes and many make frequent moves. The old addresses are also of limited utility in accurately identifying individuals, compared with the more precise identifiers of birthdates and social security numbers.

39. Defendants' birthdates and social security numbers are typically part of police incident reports and/or booking sheets. These documents were not part of the Hinton Lab files reviewed by Meier's group and thus the information they contain is not part of the Meier list. The drug receipts attached to the Meier list as PDF's, however, provide police reference numbers - police department case numbers - thus providing a link between

the Hinton Drug Lab case (sample) numbers and the number for the police reports associated with those samples.

40. The Meier list does not contain docket numbers or dispositional information. Where CPCS must focus its "identify and locate" efforts on indigent defendants *convicted* in Dookhan-involved drug cases, the list provides no ready means of determining which list entries represent convictions.

41. As a result, CPCS staff must obtain docket numbers by attempting to match Meier list names with internal data. Given the difficulties with names described above, and the lack of more precise identifiers, this matching process is inexact.

42. Assuming docket numbers are obtained, CPCS staff must obtain dispositional information. In cases originally handled by CPCS staff attorneys, internal dispositional data is accessible. In cases originally handled by private counsel assigned through bar advocate programs - and these represent the lion's share of the cases associated with the 40,323 names on the Meier list - dispositional information must be sought from the courts.

43. Superior Court dispositional data can be efficiently obtained via the AOTC's on-line information system. Accurate District Court dispositional information, on the other hand, can now only be obtained from the individual courts' clerk's offices. CPCS requests for docket information in thousands of

cases threaten to further strain under-staffed district court clerk's offices. (N.B. District court cases represent the lion's share of the cases associated with the 40,323 names on the Meier list.)

44. Assuming CPCS staff are able to identify and locate individuals with potential claims for relief from drug convictions and ascertain that they wish to speak to counsel, attorneys will be assigned. Where assigned counsel did not handle the underlying case, s/he will have to assemble a file of documents essential to advising the client relative to the merits of a possible new trial motion, such as police reports and certificates of [drug] analysis.

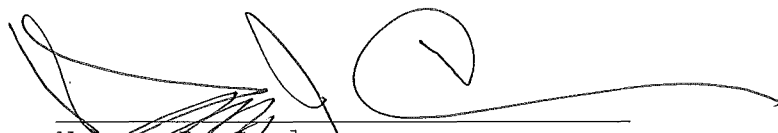
45. As indicated above, police incident reports, unlike drug receipts, were *not* part of the Hinton Drug Lab files and are *not* attached to the Meier list as PDF's.

46. Certificates of analysis of the alleged controlled substances (the so-called "drug certs"), reflecting the results of the analysis, the names of the two chemists and the role played by each (primary or secondary chemist), were *not part of the Hinton Drug Lab file*. As such, the certificates are *not* attached to the Meier list as PDF's.

47. Counsel assembling files for purposes of advising clients as to the merits of possible new trial motions will have

to seek these essential documents from District Attorney's offices, which will, in turn, have to request the documents from the appropriate police departments. Alternatively, defense counsel will have to obtain certificates via FOIA requests directed to police departments.

SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY THIS 6<sup>th</sup>  
DAY OF JANUARY 2014.



Nancy J. Caplan  
Committee for Public Counsel Services  
7 Palmer Street  
Roxbury, MA 02119  
(617) 445-7581

# **CAPLAN ATTACHMENT A**

**THE IDENTIFICATION OF INDIVIDUALS POTENTIALLY  
AFFECTED BY THE ALLEGED CONDUCT OF CHEMIST ANNIE  
DOOKHAN AT THE HINTON DRUG LABORATORY**

**FINAL REPORT TO GOVERNOR DEVAL PATRICK**

**David E. Meier  
Special Counsel to the Governor's Office  
August 2013**



### **Overview**

In September, 2012, Governor Deval Patrick established a Task Force whose goal was to identify all of the individuals who potentially could have been affected by the alleged conduct of Chemist Annie Dookhan at the Hinton Drug Laboratory in Jamaica Plain, MA, from 2003 to the present. The primary purpose of the Task Force was to ensure that prosecutors, defense attorneys, and judges were provided with as much information as possible about the identity of those individuals potentially affected, so as to enable them to respond appropriately to the alleged misconduct from their respective positions within the criminal justice system. The objective was to make all reasonable efforts to identify each and every one of the individuals who, depending upon the facts of his or her case and the applicable law, could seek their day in court; the objective was not to pass judgment or make factual or legal determinations about any particular defendant or any particular case. In short, the goal was to ensure that the criminal justice system and all potentially impacted defendants were afforded the opportunity to achieve fundamental fairness or, simply stated, to get it right.

In September, 2012, based upon the database then maintained at the Hinton Laboratory, we generated a list of approximately 37,500 individuals whose drug samples had been tested in some manner by Ms. Dookhan during her work as a chemist at the laboratory from 2003 to 2012. The list included the names of individuals whose drug samples had been tested by Ms. Dookhan as a "primary" chemist or a "secondary" (confirmatory) chemist. The list was based upon the database then maintained at the laboratory and contained entries for every drug sample tested by Ms. Dookhan from 2003, when she was first employed, to the present. Based upon the total number of drug samples contained in the laboratory data base that were associated with testing

performed by Ms. Dookhan (close to 70,000 samples), laboratory officials estimated that the total number of individuals whose cases were associated with Ms. Dookhan was approximately 34,000-35,000. Based upon our subsequent review and analysis of the list and the laboratory database, we determined that the actual number of names of individuals contained on the list generated in September, 2012, was 37,554.

At the outset of our work, the overriding priority was to identify as expeditiously as possible those individuals who at the time were potentially most adversely affected by the alleged conduct of Ms. Dookhan: individuals who were then incarcerated (or in custody) on a drug case in which Ms. Dookhan had performed drug testing. These individuals may have been incarcerated while serving a prison or jail sentence in a state or federal correctional facility, held on bail while awaiting trial on a pending case, or in custody for other reasons (e.g., parole detainers, probation violations, immigration matters, or juveniles committed to the Department of Youth Services). Within 45 days, we had identified a total of approximately 2,000 individuals who were then incarcerated on a drug case or a drug-related case in which Ms. Dookhan had performed drug testing from 2003 to the present.

From late last year through mid-2013, we worked through three (3) basic phases to attempt to identify every individual who potentially may have been impacted by the alleged conduct of Ms. Dookhan. As of August, 2013, upon the completion of Phase I, Phase II, and Phase III of our review, we have identified a total of 40,323 individuals whose drug cases potentially may have been affected by the alleged conduct of Ms. Dookhan. Law enforcement officers recovered drug samples from these 40,323 individuals in eight counties: Barnstable, Bristol, Dukes, Essex, Middlesex, Norfolk, Plymouth, and Suffolk (as well as a one-time instance in Worcester). As outlined below,

most, if not all, of the additional 2,769 individuals who have been identified since September, 2012 are associated with individuals who or cases which were previously identified and contained on the original list generated in September, 2012.

Our review, analysis, and identification of potentially impacted individuals is now essentially complete. Thus far, over 2,600 court hearings have been held statewide in the Superior Court on Dookhan-related cases or Dookhan-related issues. The prosecution of Ms. Dookhan by the Attorney General's Office for certain alleged crimes is ongoing. Likewise, the wider investigation into the practices, procedures, and overall reliability of drug testing at the Hinton Laboratory by the Inspector General's Office is also ongoing.

### **Summary of Our Three-Phase Review and Analysis**

#### **Phase I**

From September - December, 2012, we focused our efforts on coordinating with the District Attorneys, the Committee for Public Counsel Services, the private defense bar, the United States Attorney's Office, the Federal Defender's Office, the Superior Court, the District Court, the Boston Municipal Court, the Juvenile Court, and various other agencies within the criminal justice system to exchange information and data regarding those individuals who potentially may have been impacted by the alleged conduct of Ms. Dookhan. A list of the agencies and offices with which we consulted and coordinated is attached as Exhibit A. Throughout our work, each of these agencies and offices shared information and resources with us on an ongoing basis and were fully supportive of our efforts in every way.

The foundation for the sharing of information was a master list (or spreadsheet) of approximately 37,500 names of individuals upon whose drug samples Ms. Dookhan allegedly had worked as a "primary" chemist or a "secondary" (confirmatory) chemist from 2003 to the present. The original master list was generated by the Department of Public Health's Information Technology Department in late August and early September, 2012, and was based upon the available personal identifying information and other data contained within the Hinton Laboratory data base.

The master list was provided (or made available electronically with CORI-protected safeguards) to the District Attorneys, the Committee for Public Counsel Services, the private defense bar, and other appropriate agencies during the first week of September, 2012. Due to various shortcomings in the manner in which the information and data were recorded and maintained at the Hinton Laboratory, throughout September, October, and November, 2012, information technology specialists, law enforcement investigators, and others from the Massachusetts State Police and the Executive Office of Public Safety and Security undertook a wide range of investigative and technological efforts to refine or revise the personal identifying information and other data within the master list so as to enhance our ability to accurately identify by true full name as many of the individuals on the list as possible. The cooperation of the various agencies and offices set forth in Exhibit A were extraordinary during this effort.

In order to most effectively coordinate the response of the criminal justice system to the alleged conduct of Ms. Dookhan, starting immediately upon the creation of the Task Force in September, 2012, we held joint meetings with the District Attorneys, the Committee for Public Counsel, the private defense bar, the United States

Attorney's Office, and the Federal Defender's Office, as well as representatives of numerous other criminal justice agencies and offices. On an ongoing basis, we distributed specific, individualized "priority lists" reflecting the names and personal identifying information of those individuals on the master list of approximately 37,500 names who at the time were in the most severely-impacted categories: individuals in state or federal custody while serving a prison or jail sentence, individuals in state or federal custody while being held on bail awaiting trial, individuals within the custody or authority of the Department of Youth Services, individuals on parole, individuals on probation, and individuals who had a prior or predicate Superior Court drug conviction.

During the same time period, we met and communicated regularly with the Chief Justice of the Superior Court, the Chief Justice of the District Court, the Chief Justice of the Boston Municipal Court, and the Chief Justice of the Juvenile Court, as well as those judges overseeing the special "drug lab sessions" in each of the affected counties. Our purpose in doing so was to ensure that we were coordinating our efforts with those of the Trial Court, in order to most effectively and expeditiously identify all of the individuals in the priority categories, determine their corresponding criminal cases, indictments, and docket numbers, and afford them (and their counsel) an opportunity to request a court hearing wherever appropriate.

At the joint criminal justice meetings, in addition to the review and distribution of the priority category lists, prosecutors, defense counsel, and representatives of the various other agencies discussed certain Dookhan-related legal, practical, and ethical issues that were then arising within the court system on a frequent basis: requests for the discovery of potentially exculpatory information relating to the Hinton Laboratory in general (e.g., evidence logs, internal procedures, protocols, quality assurance materials,

training materials, and internal investigation reports that were within the possession of the Department of Public Health, the Attorney General's Office, or the Inspector General's Office); requests for the discovery of potentially exculpatory information relating in particular to the investigation and prosecution of Ms. Dookhan herself (e.g., Massachusetts State Police investigative reports, witness statements, and transcripts of grand jury testimony that were within the possession of the Attorney General's Office); requests for the discovery of potentially exculpatory information relating to specific individual cases and specific individual drug samples on which Ms. Dookhan had performed tests (e.g., handwritten laboratory notes (or "powder sheets"), evidence control cards, chain of custody records, mass spectrometry data, and other materials relating to specific individual cases that were within the possession of the Department of Public Health, the Attorney General's Office, or the Inspector General's Office); requests to generate and distribute a master list of the names of all of the individuals whose drug samples had been tested at the Hinton Laboratory, whether by Ms. Dookhan or any other chemist; and various legal, practical, and ethical concerns surrounding the assignment of counsel, adequate and sufficient access to inmates and clients, the transportation of defendants to and from correctional facilities, courthouse and courtroom security, audio-video conferencing of court hearings, and other real life, practical considerations related to the ongoing response by the criminal justice system. For all of the criminal justice agencies at the meetings, however, the overriding focus was on continuing our joint efforts to enhance the accuracy of the information related to each of the names on the master list.

As of December, 2012, we had specifically identified, designated, and provided relevant information to prosecutors and defense attorneys about approximately 10,000

potentially impacted individuals who fell within the various “priority categories”: individuals in state or federal custody while serving a prison or jail sentence, individuals in state or federal custody while being held on bail awaiting trial, individuals within the custody or authority of the Department of Youth Services, individuals on parole, individuals on probation, and individuals who had a prior or predicate Superior Court drug conviction or a prior Juvenile Court delinquency finding.

The majority of the remaining 27,500 names were (and remain) those of individuals who from 2003 to the present have been charged with lesser drug offenses (e.g., first offense possession offenses) that have been prosecuted and resolved in the District Court or the Boston Municipal Court. We fully recognize and appreciate the potential impact that a prior guilty finding, “continuance without a finding”, period of probation, fine, or other routine disposition on a first-offense District Court drug case might have on an individual’s criminal history, future employment, educational opportunities, public housing qualifications, or other daily pursuits.

Working in conjunction with the Committee for Public Counsel Services, the Superior Court, and the Probation Department, as of December, 2012, most, if not all, of the identified 10,000 individuals who so qualified had been assigned counsel for purposes of reviewing their case and potentially seeking some form of court hearing. Working in conjunction with prosecutors, defense attorneys, judges, and court personnel, as of December, 2012, most, if not all, of the 2,000 individuals incarcerated in prisons or county jails (those in the highest priority category) on Dookhan-related cases had been brought before a court or otherwise afforded some form of Dookhan-related factual and legal review.

## **Phase II**

Beginning in January of this year, we focused our efforts on improving and enhancing the accuracy and personal identifying information of the approximately 37,500 names on the master list by reviewing actual laboratory files, evidence submission forms, drug receipts, evidence control cards, and other laboratory documents then in the possession of the Hinton Laboratory, the Massachusetts State Police, the Attorney General's Office, and/or the Inspector General's Office. As a supplement to the information technology or computer-based review and analysis undertaken in Phase I of the names and information contained in the Hinton Laboratory data base itself, the Phase II review involved a by-hand, file-by-file review of individual laboratory documents.

The goal of the file-by-file review was to improve the accuracy of the master list by (i) manually updating, revising, or verifying the personal identifying information associated with the existing names (by including, wherever appropriate, additional data such as dates of birth, first names, middle names, last names, properly-spelled names, and police departments), as well as by (ii) creating new entries for the names and personal identifying information of (a) those individuals whose drug samples were associated with Ms. Dookhan but whose names were not previously contained in the laboratory data base (and therefore were not previously on the master list), (b) those individuals whose names were previously contained in the data base but within a single entry that contained multiple names or defendants and lacked sufficient personal identifying information, and (c) those individuals who were previously described generically within the laboratory data base (and therefore generically on the master list) as "multiple suspects", "multiple defendants", "co-defendants", "et al", or "etc."



As of April, 2013, we had reviewed by hand certain laboratory documents and records from the years 2012, 2011, and 2010. For 2012, the review generated no "new" or additional individuals whose drug samples were associated with Ms. Dookhan as the primary or secondary chemist. For 2011, the review generated 673 new or additional entries of individuals whose drug samples were associated with Ms. Dookhan as the primary chemist and 192 new or additional entries of individuals whose drug samples were associated with Ms. Dookhan as the secondary chemist. The majority of these new or additional entries were for individuals whose names were previously contained in the laboratory data base but within a single entry that contained multiple names or defendants and lacked sufficient personal identifying information. For 2011, the file by file review also enabled us to update, revise, or verify the names and personal identifying information of 2,068 previously-identified individuals whose drug samples were associated with Ms. Dookhan as the primary or secondary chemist.

For 2010, the review generated 1,369 new or additional entries of individuals whose drug samples were associated with Ms. Dookhan as the primary chemist and 1,066 new or additional entries of individuals whose drug samples were associated with Ms. Dookhan as the secondary chemist. Again, the majority of these new entries were for individuals whose names were previously contained in the laboratory data base but within a single entry that contained multiple names or defendants and lacked sufficient personal identifying information. For 2011, the file by file review enabled us to update, revise, or verify the names and personal identifying information of 6,411 previously-identified individuals whose drug samples were associated with Ms. Dookhan as the primary or secondary chemist.

Independent of our efforts during Phase II of our review, in early 2013, Navigant -- the outside document storage vendor contracted by the Inspector General's Office in connection with that Office's ongoing overall review of the Hinton Laboratory -- began the electronic collection, scanning, and storage of all documents and records generated at the laboratory from as far back as 1998, including those from 2012, 2011, and 2010 that we were then reviewing by hand. Given the nature, extent, and volume of the documents and records (as well as the various locations where they were then maintained, stored, or archived), the electronic collection, scanning, and storage process continued for several months. So too did our file-by-file review.

As of May of this year, as a result of the ongoing document collection and storage, we not only had the capability of accessing, reviewing, and analyzing electronically all of the data and information that the law enforcement investigators and information technology specialists from the State Police and the Executive Office of Public Safety and Security had researched and refined during Phase I of our efforts, but also all of the substantial additional data and information that were contained in the evidence submission forms, drug receipts, evidence control cards, chain of custody records, and other actual laboratory documents that formed the basis of our file-by-file review during Phase II of our review.

### **Phase III**

Accordingly, in order to provide the criminal justice system with the most accurate information available to us regarding the identity of each and every individual who potentially could have been affected by the alleged conduct of Ms. Dookhan, throughout June and July we researched and analyzed all of the data, laboratory

records, and related information that to date had been electronically collected and stored. In all, during Phase II and Phase III of the review, some 1.5 million hardcopy laboratory documents, comprising more than 3.5 million hardcopy pages, as well as another 3.5 million documents from electronic sources, were collected, stored, researched, and analyzed.

Based on the research and analysis conducted in Phase II and Phase III of our review, we have now generated a revised, updated, and comprehensive list of 40,323 names of individuals upon whose drug samples Ms. Dookhan performed testing as a primary chemist or a secondary (confirmatory) chemist from 2003 to the present. This new master list reflects our best efforts to identify each and every individual who potentially may have been impacted by the alleged conduct of Ms. Dookhan. A sample, illustrative version of the revised and updated master list (the original of which is CORI-protected) is attached as Exhibit B. Again, our primary purpose in creating the new master list is to ensure that prosecutors, defense attorneys, and judges (as well as all others within the system) are provided with as much information as possible about the identity of those individuals potentially affected, so as to enable each of the agencies and offices to respond appropriately to the alleged misconduct from their respective positions within the criminal justice system.

The new master list is in a format designed to be user-friendly. It contains the basic, necessary information that will enable the District Attorneys, law enforcement agencies, the Committee for Public Counsel Services, the private defense bar, and any other appropriate agencies to most accurately identify those individuals who potentially may have been impacted by Ms. Dookhan. The list is organized by county, and for most of the 40,323 names, includes individual entries reflecting the corresponding town, the

corresponding law enforcement agency, the name of the police officer who submitted the drug sample to the laboratory, the date the drug sample was submitted, the internal Hinton Laboratory sample number, the results of the drug testing, and the drug submission (or drug receipt) form. The drug submission form contains additional confidential law enforcement data and information which should enable the District Attorneys and/or the respective law enforcement agencies to locate the applicable police reports, arrest/booking records, and any other related materials.

In addition, by utilizing the specific internal Hinton Laboratory sample (or case) number that corresponds to each individual on the list, prosecutors and defense attorneys will soon be able to request access to copies of all of the relevant discovery material from the laboratory that relates to any specific individual defendant, individual case, or individual drug test.

As noted above, the new list contains 40,323 names. It is based, in part, upon a systematic review and analysis -- initially by hand and then electronically -- of some 3.5 million actual laboratory documents, including those related to over 86,000 drug samples associated with Ms. Dookhan. The original list, generated in September, 2012, contained 37,554 names. It was based upon the available personal identifying information and other data contained within the Hinton Laboratory database. The 2,769 additional names that we have identified are the result of our research and analysis during Phase II and Phase III of our review. As outlined above, most, if not all, of these additional names are the result of our research and analysis of previous multiple defendant (or "et al") drug samples and drug tests; most, if not all, of these additional names are associated with a name or an individual or a case that was contained on the original list generated in September, 2012.

**Endnote**

In the coming days, we intend to meet with the District Attorneys, the Committee for Public Counsel Services, the Chief Justices of the respective courts, the Massachusetts Bar Association, the Boston Bar Association, and any other appropriate agencies and offices to discuss and distribute the new master list.

One final note: This Report is meant to summarize for the Governor in a general way the nature, extent, and course of the research and analysis that was performed by the Task Force during the three phases of our review. It is neither intended nor designed to describe in detail our work over the past 10 months. Indeed, in the end, it is the revised and updated master list of names and related information that is our true report to the Governor and, perhaps more importantly, to the criminal justice system.

# **Exhibit A**

**Agencies and Organizations Within the Criminal Justice System with Which  
the Task Force Consulted and Coordinated**

1. Department of Public Health Hinton Drug Laboratory
2. District Attorneys' Offices
3. United States Attorney's Office
4. Attorney General's Office
5. Committee for Public Counsel Services
6. Federal Defender's Office
7. Federal Criminal Justice Act Panel
8. Private Defense Bar
9. Bar Advocate Programs
10. Massachusetts Bar Association
11. Boston Bar Association
12. Chief Justice of the Superior Court + Superior Court Judges
13. Chief Justice of the District Court + District Court Judges
14. Chief Justice of the Boston Municipal Court + Boston Municipal Court Judges
15. Chief Justice of the Juvenile Court + Juvenile Court Judges
16. Massachusetts State Police
17. Local Police Departments
18. Executive Office of Public Safety and Security
19. Department of Corrections
20. Sheriffs' Departments/County Houses of Corrections/County Jails

21. Department of Youth Services
22. Massachusetts Parole Board
23. Massachusetts Probation Department
24. United States Marshal's Office
25. Federal Bureau of Prisons
26. Department of Homeland Security/Immigration and Customs Enforcement
27. United States Probation Office
28. United States Pretrial Services Office
29. Superior Court Clerk's Offices
30. District Court and Boston Municipal Court Clerk's Offices



# Exhibit B

# HINTON DRUG LAB REVIEW

**\*\*ILLUSTRATIVE AID: ALL NAMES ARE FABRICATED FOR SAMPLE PURPOSES ONLY\*\***

Submitting Agency (Normalized)	Submitting Agency (As Entered at Lab)	Town (Normalized)	County (Normalized)
BREWSTER PD	Brewster Police Dept.	Brewster	Barnstable
BREWSTER PD	Brewster Police Dept.	Brewster	Barnstable
BREWSTER PD	Brewster Police Dept.	Brewster	Barnstable
BREWSTER PD	Brewster Police Dept.	Brewster	Barnstable
BREWSTER PD	Brewster Police Dept.	Brewster	Barnstable
HYANNIS PD	Hyannis Police Dept.	Hyannis	Barnstable
HYANNIS PD	Hyannis Drug Police	Hyannis	Barnstable
HYANNIS PD	Hyannis Police Dept.	Hyannis	Barnstable
HYANNIS PD	Hyannis Police Dept.	Hyannis	Barnstable
HYANNIS PD	Hyannis Police Dept.	Hyannis	Barnstable
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	Salem Police	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	SALEM Police Dept.	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
SALEM PD	Salem Police	Salem	Essex
SALEM PD	Salem Police	Salem	Essex
SALEM PD	Salem Police Dept.	Salem	Essex
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police	Quincy	Norfolk
QUINCY PD	QUINCY PD DEPT	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk
QUINCY PD	Quincy Police Dept.	Quincy	Norfolk

# HINTON DRUG LAB REVIEW

**\*\*ILLUSTRATIVE AID: ALL NAMES ARE FABRICATED FOR SAMPLE PURPOSES ONLY\*\***

Defendant(s) (As Entered at Lab)	Submitting Officer (As Entered at Lab)	Date Submitted to Lab	Lab Sample #	Results (As Entered at Lab)	Individual Defendant (As Entered at Lab)
SMITH, RICHARD	Sergeant JOHN JONES	1/25/2011	A00-12345	HEROIN	SMITH, RICHARD
JOHNSON, JAMES	Sergeant JOHN JONES	1/25/2011	A12-67890	COCAINE	JOHNSON, JAMES
WILLIAMS, ROBERT	Sergeant JOHN JONES	1/25/2011	A34-98765	MARIJUANA	WILLIAMS, ROBERT
BROWN, WILLIAM	Sgt JOHN JONES	1/25/2011	A56-43456	COCAINE	BROWN, WILLIAM
DAVIS, MARY	Sergeant JOHN JONES	1/25/2011	A78-23156	OXYCODONE	DAVIS, MARY
ADAMS, PHIL	Detective MICHAEL HALL	6/18/2007	A90-68754	OXYCODONE	ADAMS, PHIL
WILSON, CHARLES	Det. MICHAEL HALL	6/18/2007	A11-89765	COCAINE	WILSON, CHARLES
WHITE, JOSEPH	Detective MICHAEL HALL	6/18/2007	A23-13232	ALPRAZOLAM	WHITE, JOSEPH
HARRIS, PAUL	Detective MICHAEL HALL	6/18/2007	A46-76954	HYDROMORPHONE	HARRIS, PAUL
HARRIS, PAUL	Det. MICHAEL HALL	6/18/2007	A90-14231	HYDROMORPHONE	HARRIS, PAUL
THOMAS, JASON	Sergeant SARAH SMITH	2/11/2005	A31-00876	COCAINE	THOMAS, JASON
ROBINSON, ANTHONY	Sergeant SARAH SMITH	2/11/2005	A54-13987	MARIJUANA	ROBINSON, ANTHONY
ALLEN, MARY	Sergeant SARAH SMITH	2/11/2005	A64-10098	MARIJUANA	ALLEN, MARY
GREEN, PATRICIA	Sergeant SARAH SMITH	2/11/2005	A79-36532	COCAINE	GREEN, PATRICIA
KING, MARIA	Sergeant SARAH SMITH	2/11/2005	A23-76981	OXYCODONE	KING, MARIA
SCOTT, PAUL	Sgt. SARAH SMITH	2/11/2005	A97-22164	AMPHETAMINE	SCOTT, PAUL
HALL, STEVEN	Sergeant SARAH SMITH	2/11/2005	A98-80198	COCAINE	HALL, STEVEN
YOUNG, KEVIN	Sergeant JAMES MILLER	4/19/2004	A87-35211	HYDROCODONE-C	YOUNG, KEVIN
CLARK, PAUL	Sergeant JAMES MILLER	4/19/2004	A67-99543	COCAINE	CLARK, PAUL
ADAMS, SUSAN	Sergeant JAMES MILLER	4/19/2004	A54-42390	MARIJUANA	ADAMS, SUSAN
ADAMS, SUSAN	Sergeant JAMES MILLER	4/19/2004	A32-13654	MARIJUANA	ADAMS, SUSAN
LEWIS ET AL	Detective BRIAN ADAMS	11/17/2010	A21-24407	MARIJUANA	LEWIS, DONALD
LEWIS ET AL	Detective BRIAN ADAMS	11/17/2010	A21-24407	MARIJUANA	LEE, LINDA
LEWIS ET AL	Det BRIAN ADAMS	11/17/2010	A21-24407	MARIJUANA	HILL, CHARLES
BAKER, DANIEL	Detective BRIAN ADAMS	11/17/2010	A42-21345	MARIJUANA	BAKER, DANIEL
ROBERTS, SANDRA	Detective BRIAN ADAMS	11/17/2010	A31-22202	MARIJUANA	ROBERTS, SANDRA
NELSON, ELIZABETH	Detective BRIAN ADAMS	11/17/2010	A45-22209	COCAINE	NELSON, ELIZABETH
TURNER, RICHARD	Detective BRIAN ADAMS	11/17/2010	A35-24610	COCAINE	TURNER, RICHARD
PARKER, LAURA	Sgt. THOMAS RAY	6/5/2010	A57-02472	COCAINE	PARKER, LAURA
CAMPBELL, CHARLES	Sergeant THOMAS RAY	6/5/2010	A43-24611	OXYCODONE	CAMPBELL, CHARLES
EVANS, MICHELLE	Sergeant THOMAS RAY	6/5/2010	A02-10985	OXYCODONE	EVANS, MICHELLE
GEORGE, ETHEL	Sergeant THOMAS RAY	6/5/2010	A56-02458	OXYCODONE	GEORGE, ETHEL

## HINTON DRUG LAB REVIEW

**\*\*ILLUSTRATIVE AID: ALL NAMES ARE FABRICATED FOR SAMPLE PURPOSES ONLY\*\***

Drug Submission Form (Click for Drug Receipt)
<a href="#">MSPON00062917.pdf</a>
<a href="#">MSPON00062918.pdf</a>
<a href="#">MSPON00062918.pdf</a>
<a href="#">MSPON00062918.pdf</a>
<a href="#">MSPON00062919.pdf</a>
<a href="#">MSPON00062919.pdf</a>
<a href="#">MSPON00062920.pdf</a>
<a href="#">MSPON00062921.pdf</a>
<a href="#">MSPON00062922.pdf</a>
<a href="#">MSPON00062922.pdf</a>
<a href="#">MSPON00062924.pdf</a>
<a href="#">MSPON00062925.pdf</a>
<a href="#">MSPON00062926.pdf</a>
<a href="#">MSPON00062927.pdf</a>
<a href="#">MSPON00062928.pdf</a>
<a href="#">MSPON00062929.pdf</a>
<a href="#">MSPON00062930.pdf</a>
<a href="#">MSPON00062931.pdf</a>
<a href="#">MSPON00062942.pdf</a>
<a href="#">MSPON00062956.pdf</a>
<a href="#">MSPON00062956.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>
<a href="#">MSPON00014703.pdf</a>

COMMONWEALTH OF MASSACHUSETTS

SUPREME JUDICIAL COURT

SUFFOLK, ss.

NO. SJ-2013-

PETITIONERS

v.

COMMONWEALTH

AFFIDAVIT OF ANTHONY J. BENEDETTI

I, Anthony J. Benedetti, state as follows;

1. I am the Chief Counsel of the Committee for Public Counsel Services (CPCS).

2. "In June, 2011, allegations of misconduct at the William A. Hinton State Laboratory Institute in Jamaica Plain . . . [first] surfaced regarding work performed by Annie Dookhan . . . ." Commonwealth v. Charles, 466 Mass. 63, 64 (2013).

3. Over the ensuing two and one-half years, CPCS's ability to carry out its core mandate has been affected by the criminal justice system's case-by-case response to the "burgeoning crisis." Id. at 89.

4. I am submitting this affidavit in support of the petitioners in this case to ensure that this Court is aware

of how the case-by-case approach is impeding this agency's ability to carry out its core statutory mandate: to "establish, supervise and maintain a system for the appointment or assignment of counsel at any stage of a proceeding, either criminal or noncriminal in nature," for all indigent persons entitled to counsel in this Commonwealth. G.L. c.211D, §5.

5. By way of background, on March 12, 2013, CPCS sought to intervene in the Charles and Milette cases then before the single justice (Botsford, J.) to:

protect its clients' due process rights to the just and timely resolution of the many thousands of previously-adjudicated cases tainted by systemic malfeasance at the Hinton Drug Lab . . . , to protect its clients from the devastating fiscal and human costs attendant to the case by case approach to the resolution of those cases . . . , and to advocate for remedies that will restore the integrity of the criminal justice system.

Commonwealth v. Charles, SJ-2013-0066 & Commonwealth v. Milette, SJ-2013-0086 (Committee for Public Counsel Services' Motion to Intervene at 1) (March 12, 2013).

6. A copy of my affidavit in support of CPCS's motion to intervene is attached hereto and is incorporated by reference herein.

7. Charles and Milette asked the single justice to report the following question to the full Court:

Where ongoing disputes in litigation caused by corrupt practices in the Hinton Lab have compounded the injustices of that scandal, whether this Court, pursuant to its extraordinary powers and superintendence capacity, should direct and endorse a range of equitable judicial remedies designed to protect the due process rights of affected, to restore the integrity of the affected judicial system, and to ensure the public's confidence therein.

Commonwealth v. Charles, SJ-2013-0066, Commonwealth v. Milette, SJ-2013-0086, & Commonwealth v. Superior Court, SJ-2013-0092 (Reservation and Report at 4) (March 22, 2013).

8. The single justice denied CPCS's motion to intervene, "without prejudice to renewal," and declined to report to the full Court questions pertaining to the "systemic impact" of the Hinton Lab fiasco, on the rationale that such efforts at reaching a "global solution" to the problem were "premature." Id. "The work of David Meier . . . is not yet complete. Nor is the investigation of the Inspector General complete." Ibid.

9. The single justice nonetheless "retain[ed] . . . jurisdiction so that the individual defendants and CPCS

will have an opportunity to renew their motions before me at an appropriate time." Id.

10. On August 20, 2013, Attorney Meier released the results of his investigation, which concluded that the "criminal cases of 40,323 people may have been tainted." David Abel, John R. Ellement, and Martin Finucane, "Annie Dookhan, Alleged Rogue State Chemist, May Have Affected 40,323 People's Cases, Review Finds," Boston Globe, August 20, 2013.

11. We still await the Investigator General's report.

12. As of this date, CPCS has assigned counsel in approximately 8,700 previously litigated cases impacted by the Hinton Lab fiasco. This number includes cases that have been assigned to private counsel through bar advocate programs and Public Defender Division staff counsel.

13. In my view, now is the appropriate time for this Court to frame an appropriate global response to the Hinton Lab fiasco.

14. The Charles and Milette cases have been resolved. For this reason, CPCS is unsure whether Justice Botsford retains jurisdiction to consider a renewed motion to intervene in those cases.

15. Notwithstanding this uncertainty as to the



appropriate procedural vehicle, I am more convinced than ever that anything other than a global resolution of the Hinton Lab crisis will fail to deliver justice to many thousands of indigent defendants whose rights have been violated and will require CPCS to obtain millions of additional dollars in funding targeted to the DPH Lab fiasco.

16. For the reasons discussed in the affidavit of Attorney Nancy Caplan, CPCS believes that the Meier report undercounts the number of tainted cases. Moreover, the Meier report does not even purport to count all Hinton Lab cases that may have been tainted by the systemic incompetence and malfeasance which infected the lab during the years that Annie Dookhan worked there, regardless whether Ms. Dookhan handled the case personally. CPCS estimates that there are approximately 190,000 such cases.

17. Whether or not the Meier number ultimately proves to be accurate, the Attorney General's office has plausibly estimated that the fiasco has already resulted in the expenditure by the Commonwealth of "hundreds of millions of dollars." Commonwealth v. Annie Dookhan, SUCR2012-11155 (Commonwealth's sentencing memorandum, filed October 17, 2013).

18. Although CPCS and the District Attorneys

received some supplemental funds for Hinton Lab-related expenditures last fiscal year, those funds represent only a small fraction of what the growing crisis will likely cost the agency in the future.

19. Moreover, the time that CPCS Public Defender Division staff attorneys and support staff expend to provide counsel in previously-litigated Hinton Lab cases is time that is diverted from other cases. This redistribution of staff time is an unquantifiable impediment to our ability to carry out our core mission.

20. Similarly, CPCS's two-attorney Forensic Services Unit has devoted countless hours on Dookhan-related matters since news regarding the crisis broke. That work has been essential to CPCS's efforts to vindicate the rights of clients whose due process rights have been violated. But, the development of substantive forensic resources needed by all of CPCS's clients have had to be put on hold as the Forensic Unit's time has been increasingly monopolized by Hinton Lab-related matters.

21. CPCS's core function is to provide counsel at the pre-trial and trial level. But the indigent defendants whose due process rights have been violated by the Hinton Lab fiasco require the assistance of post-conviction counsel. Such representation is specialized,


time-consuming, and expensive. Moreover, post-conviction work is not the kind of representation that most public defenders and bar advocates have been trained to provide.

22. There are no more than 300 qualified attorneys in Massachusetts who are willing to handle post-conviction cases at the low hourly rates that CPCS is authorized to pay. Unless there is a global resolution of the Hinton Lab cases, CPCS will need to recruit, train, and provide support to a small army of newly-qualified post-conviction attorneys to represent each of the tens of thousands of Hinton Lab clients whose cases have been affected.

23. Such an effort would take months if not years, cost millions of dollars, and cause incalculable damage to CPCS, its clients, and Massachusetts' criminal justice system.

SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY THIS

6<sup>th</sup> DAY OF JANUARY 2014.



Anthony J. Benedetti  
Chief Counsel  
Committee for Public Counsel Services  
44 Bromfield Street  
Boston, MA 02108  
(617) 482-6212

# **BENEDETTI ATTACHMENT A**

COMMONWEALTH OF MASSACHUSETTS

SUPREME JUDICIAL COURT

ESSEX, ss.

NOS. SJ-2013-0066 &  
SJ-2013-0083

COMMONWEALTH

v.

SHUBAR CHARLES

&

COMMONWEALTH

v.

HECTOR MILETTE

AFFIDAVIT OF ANTHONY J. BENEDETTI IN SUPPORT OF COMMITTEE  
FOR PUBLIC COUNSEL SERVICES'  
MOTION TO INTERVENE

I, Anthony J. Benedetti, state as follows;

1. I am the Chief Counsel of the Committee for Public Counsel Services (CPCS).
2. The facts set forth in this motion to intervene are true and accurate to the best of my knowledge, information, and belief.
3. Attached to this affidavit and incorporated by reference herein is a copy of my testimony on December 12, 2012, before the House Committee on Post Audit and Oversight, the Joint Committee on Public Health, and the Joint Committee on Public Health and Homeland Security, which Committees were charged with launching the Legislature's investigation into the Hinton Lab fiasco (Attachment A).
4. Also attached is a copy of a letter to Speaker DeLeo, dated November 8, 2012, and accompanying outline and spreadsheet pertaining to CPCS's initial

assessments of the nature and costs related to the potential universe of Hinton Lab cases, which were also submitted to the Committees on December 12, 2012, testimony (Attachment B).

**Summary**

5. For present purposes, I draw the Court's attention to the following points:

(a) The Commonwealth has acknowledged that Annie Dookhan's hands were directly involved in at least 34,000 Hinton Lab cases.

(b) CPCS estimates that there may be as many as 190,000 previously-adjudicated cases tainted by the Hinton Lab scandal. This number includes, in addition to the cases that Annie Dookhan personally touched, all other cases that emanated from the Hinton Lab during Dookhan's tenure;

(c) At this point, the number of cases that will actually be re-litigated is unknown and within the sole discretion of the District Attorneys.

(d) CPCS must provide counsel to every poor person whose basic right to a fair and reliable adjudication of the charges has been sabotaged by malfeasance and incompetence at the Hinton Lab, whether that number is large or small.

(e) Given fiscal and human resource realities, it is a given that every second and every dollar that CPCS spends providing counsel in previously-litigated Hinton Lab cases is time and money taken away from other compelling needs, including (but not limited to) providing counsel to children and parents in emergency care and protection matters, to mentally ill persons in involuntary commitment cases, to juveniles facing commitment to DYS, and to defendants facing the loss of liberty and a plethora of "collateral consequences" to criminal conviction.

(f) When I testified before the Legislature in December, I was still hopeful that the justice system would come together to repair the extraordinary harm inflicted on the people of Massachusetts by virtue of this fiasco, if only because it was clear to so many that the systemic costs of case-by-case re-litigation would be

disastrous.

(g) Regrettably, that hopefulness has evaporated, as the system has failed even to identify many thousands whose rights have been violated, as critical discovery of drug certificates has been thwarted, and as the determination of District Attorneys to handle individual cases as if this were "business as usual" has hardened.

(h) CPCS therefore seeks to intervene in order to advocate for specific ways in which this Court can and should exercise its superintendence and equitable authority to preserve the due process rights of those who will otherwise have to wait years to receive justice and to limit the otherwise incalculable costs to the Commonwealth that will be incurred in identifying, prosecuting, defending, and resolving many thousands of tainted Hinton Lab cases, all of which have already been once litigated and adjudicated.

**Difficulties identifying affected clients**

6. Following exposure of the Hinton Lab failure, CPCS staff attorneys and bar advocates who had represented indigent defendants in drug cases during Dookhan's tenure -- 2003 through 2012 -- have attempted to determine which of those clients might be entitled to relief, so that they might endeavor to counsel those clients. But the task of such identifying clients has proven to be extremely difficult.

7. In September of 2012, CPCS was provided a copy of an electronic database from the Hinton Lab which purported to contain information identifying approximately 34,000 defendants in all cases handled by Annie Dookhan.

8. The information in that database included a name (sometimes an alias, nickname, or merely a notation stating "unknown"), a town or county, and a date or year that the sample was delivered to the lab.

9. The DPH database did not include docket numbers or dates of birth. Nor did it even incorporate the putative names of all defendants in a given case; in cases involving co-defendants, many defendants' names did not appear at all.

10. Because the date a sample was delivered to the Hinton Lab may have been months either before or after the date of arraignment of a CPCS client, the Private Counsel Division of CPCS (which was responsible for assigning counsel in over ninety percent of these cases) developed a formula for matching the data in the DPH database with CPCS' private counsel electronic billing data, so that all available data points could be used to identify affected clients.

11. Using this information, CPCS was able to identify about 5,600 clients out of the 34,000 "Dookhan cases" provided by DPH, i.e., under seventeen percent.

12. CPCS reopened and assigned counsel in each of these cases.

13. It should be noted that a great deal of information that might be helpful in identifying defendants impacted by the Hinton Lab scandal is CORI-protected. Although CPCS staff attorneys may legally access such data, assigned private attorneys must first obtain special CORI clearance in order to use such information to identify former clients in need of relief.

14. In an effort to identify additional injured clients, CPCS set up a free telephone hotline for prisoners and other former clients to call to request counsel if they believed their cases had been tainted by Hinton Lab misconduct.

15. The hotline was staffed with temporary employees of the Private Counsel Division, and temporary lawyers were contracted to oversee the services in these additional cases.

17. As of this date, CPCS has assigned counsel in approximately 8,000 previously-litigated cases impacted by the Hinton Lab fiasco. This number includes cases that have been assigned within the Public Defender Division.

16. The Public Defender Division of CPCS similarly sought to identify affected clients, initially by generating a list of all drug cases handled by staff attorneys during Dookhan's tenure.

17. But because the Public Defender Division's case management system is based on a single "lead charge" entry, the lists generated failed to capture any



case in which a drug count was not the lead charge.

18. Spreadsheets prepared from the DPH database, purporting to list cases in which Dookhan was involved in the analysis of alleged drugs as a primary or secondary chemist, were made available to all Public Defender Division staff attorneys.

19. These spreadsheets proved to be highly problematic, for many of the reasons identified above: The identifying information in the DPH database from which the spreadsheets were generated did not include identifying information other than a name and a lab case number, so attorneys could not make reliable determinations regarding clients with common names. And where, as noted above, the spreadsheets did not include all co-defendant names in a given case, many defendants' names did not appear at all.

20. The DPH data proved to be unreliable in other ways. Defendants in some cases where it was known that Dookhan was involved in the analysis of the alleged drugs were, inexplicably, not included on the lists, even where there were no co-defendants. In other instances, the data appeared over-inclusive, including names of defendants in cases where all certificates of analysis had been obtained and indicated that Dookhan was neither the primary nor secondary chemist.

21. With no definitive, reliable list of cases in which Dookhan was directly involved in the analysis of the alleged drugs, staff attorneys were left to piece together their own lists through inefficient and time-consuming means.

22. On the private side, CPCS created and provided to each bar advocate receiving assignments in one of the affected counties a list of all Superior Court cases involving G.L. c.94C charges to which the bar advocate was assigned from 2003 through 2012, and has requested that attorneys seek to identify impacted clients.

23. However, CPCS has no legal authority to compensate bar advocates for the time required to retrieve and comb through closed files in an effort to identify clients harmed by the Hinton Lab misconduct.

**Difficulties obtaining discovery of certificates of analysis**

24. The task with which all CPCS attorneys, private and public, were faced involved a manual search of closed case files. These files typically had to be brought back to offices from storage facilities.

25. In the first instance, attorneys searched for the DPH certificates of analysis, which are supposed to include the names of the primary and secondary chemists involved in the analysis of the alleged drugs. See, e.g., Exhibit "G" to Request to Reserve and Report.

26. For a variety of reasons, many closed files did not contain drug lab certificates. Therefore, in many instances, attorneys have sought to obtain copies of the certificates from the Commonwealth.

27. Attorneys have found it extremely difficult and, in many cases, impossible to get copies of certificates of analysis from the Commonwealth.

28. In Suffolk County, from which the lion's share of Hinton Lab cases during Dookhan's tenure originated, the District Attorney's office has only been able to provide certificates in the most active cases, i.e., cases involving incarcerated defendants where there is reason to believe that Dookhan was directly involved in the analysis of the alleged drugs.

29. Attorneys have also endeavored to counsel indigent clients in other circumstances, e.g., those on probation or parole, and those suffering significant, often devastating, collateral consequences arising out of drug convictions.

30. Copies of the drug certificates are essential in order to assess these cases and counsel these clients.

31. The District Attorney's office has not been able to perform the work needed to produce drug certificates in what they see, correctly, as a vast number of cases.

32. The problem is exacerbated by the fact that the certificates of analysis, where copies cannot be found either by defense attorneys in their closed files or by

prosecutors in their closed files, must be obtained from the local police department that performed the underlying investigation.

33. Incredibly, copies of certificates of analysis are not part of the files maintained by the Department of Public Health. Rather, they are stored with the alleged drugs themselves in local police department evidence rooms or storage facilities.

34. CPCS is aware of only a handful of cases in which attorneys have managed to persuade officials in local police departments to produce drug certificates in Hinton Lab cases.

35. Nor are discovery motions a solution, because certificates must be sought not in pending cases but in previously-litigated cases in which clients' rights may have been violated as a result of the Hinton Lab failure. Certificates are necessary in these many cases so clients may be properly counseled regarding the potential merits of a motion for new trial in light of the Hinton Lab failure.

36. While broad-based production of certificates of analysis would go a long way towards enabling attorneys to identify clients with possible Hinton Lab failure claims, the certificates alone often will not suffice. The certificates frequently list only one of multiple co-defendants and do not include police case numbers. Drug receipts, which include lab case numbers, and police case numbers, are necessary to connect drug certificates to the appropriate police reports which reflect the names and identifying information of all defendants.

37. Materials from the Hinton Lab, including the drug receipts and other documentation pertaining to chain of custody and the analyses of the substances themselves, have been inaccessible to the indigent defense bar. These materials would indicate -- or purport to indicate -- which lab personnel handled the substances and which were involved in the analyses thereof.

38. These materials are, so far as CPCS has been able to determine, stored at four different places. The "work materials" of Dookhan herself are in the custody of the Attorney General -- these materials were taken from the Hinton Lab

in connection with the Attorney General's investigation and prosecution of Dookhan. It is not known to CPCS what documents are encompassed in "work materials" nor is it clear how it was determined what "work materials" were attributable to Dookhan. (The most recent installment of discovery provided to CPCS staff attorneys litigating pending Hinton Lab cases includes grand jury minutes and exhibits in the criminal cases now pending against Dookhan, which include work materials in fewer than 20 of the Hinton Lab cases in which Dookhan was involved.)

39. Hinton Lab documents relating to the analyses of alleged drugs during a portion of Dookhan's tenure, (2010 through the summer of 2012), are at the Massachusetts State Police Lab in Sudbury.

40. Upon information and belief, most other Hinton Lab materials remains at the lab itself. The Inspector General's Office, in connection with its investigation of the Hinton Lab failure, is reportedly scanning many thousands of pages of documents from the Hinton Lab's files. (The number 8,000,000 has been cited.) It appears that the scanned documents will be subjected to an optical character recognition process to convert the scanned documents into a searchable form.

41. CPCS has been advised that these materials will not be accessible to it for an estimated four to six months.

42. Some Hinton Lab materials from the Dookhan era may be stored in archives.

#### **Problems with Hinton Lab litigation**

43. The above-described problems accessing materials necessary to identify clients who may have claims of relief extend to the litigation of the cases of clients in which motions for a new trial or motions for a stay of sentence have been filed.

44. Some, but not all, courts in counties affected by the Hinton Lab failure are entertaining post-conviction discovery motions. When motions are heard for

the discovery of, e.g., documents relating to chain of custody and the documentation underlying the analyses of the alleged drugs, prosecutors are advising courts that these materials are not in their custody or control.

45. In these circumstances and in circumstances where judges or special magistrates are unwilling to entertain discovery motions, defense attorneys must file motions under Rule 17 for orders directed at third parties.

46. These Rule 17 motions, directed at the State Police and the Executive Office of Public Safety, the Department of Public Health, the Inspector General's Office and the Attorney General's Office, entail work for these entities, and, as such, result in extensive delay.

47. None of these entities appear to be equipped to respond to a myriad of requests for discovery materials. At the State Police Lab in Sudbury, for example, which has been tasked with taking over the work previously performed at the Hinton Lab, "seven chemists . . . are struggling to keep up with a backlog of drug samples that mushroomed from 400 to 14,000 in the seven months since [the Dookhan scandal arose.]" See Attachment F to this affidavit.

48. The backlog in Sudbury bodes ill for the case-by-case litigation of cases arising out of the Hinton Lab failure going forward.

49. Some District Attorneys in the eight affected counties, including Suffolk, have indicated that they may seek to have the alleged drugs re-tested in cases where defendants are granted new trials, in spite of the issues raised by the nature and scope of Dookhan's misconduct and systemic failures in the management of the Hinton Lab.

**The failure of the system's efforts to insure that "no one falls through the cracks"**

50. While early pronouncements and efforts by Commonwealth officials and appointees promised an efficient solution to the problem of identifying all defendants impacted by the Hinton Lab failure, such a solution has not materialized.

51. On August 30, 2012, according to the Boston Herald, the Commonwealth's 11 District Attorneys released a joint statement requesting a list of the criminal cases identified as part of the State Police audit of the Hinton Lab, and stating that they would "take the appropriate action necessary to ensure that justice is done."

52. Governor Patrick stated in a September 11, 2012, letter responding to the concerns of the District Attorneys, "To get the job done right, prosecutors and defense attorneys will have to work together with staff from the Departments of Correction, Parole, Probation, Youth Services and the Trial Court to assure that the list [of affected defendants] is comprehensive." Patrick added, "We will assist in these efforts by creating a central office with a dedicated team for that task or, if you have other ideas, we are open to those." Boston Herald, September 12, 2012

53. In early September, the press reported that lists of cases of defendants whose cases "might be affected" by the lab failure were sent to the District Attorneys across the Commonwealth. According to a report in the Boston Globe, the State Police stated that they were "contacting other agencies -- including the state Trial Court, the Department of Corrections and the Parole Department, seeking to cross - reference information about defendants with drug case information, so that defendants might be contacted by counsel.

54. On September 12, 2012, Governor Patrick met with CPCS staff along with Secretary of Health and Human Services Secretary JudyAnn Bigby and Department of Public Safety and Security Secretary Mary Elizabeth Heffernan. The agenda was to move forward in collecting information related to the drug lab and to encourage cooperation between the District Attorney, the defense bar, and the judicial system.

55. On September 20, 2012, the Governor announced the appointment of former prosecutor David Meier to lead a team to "review thousands of criminal cases potentially tainted by the mishandling of drug evidence at the Hinton Lab."

(Boston Globe, September 20, 2012). Patrick stated, at a press conference with Meier, "The job of the office is to make sure no one falls through the cracks."  
(Boston Glove, September 21, 2012.)

56. Meier's job also involved the creation of a centralized "war room" to encourage discussion as to how best to secure the needed identifying information, and to disburse the information to the District Attorneys and the defense bar as the information became available.

57. The initial "war room" meetings involved all of the stakeholders; representatives from CPCS, the District Attorneys, the State Police, and Secretary Heffernan as well as members of the EEOPS senior staff. Attorney Meier provided lists of cases extrapolated from the computer database of the Hinton lab and other state agency databases.

58. It soon became apparent that the manner in which data was stored for DPH lab drug test processing did not include the information needed for identifying the defendants. Recognizing this problem, Attorney Meier encouraged CPCS and the District Attorneys to begin reviewing their case files in order to identify affected defendant. Several District Attorney offices reported reviewing these files, other offices stated that they were overwhelmed with the work involved in preparing for hearings on motion to stay the sentences of those incarcerated on so-called "Dookhan cases," and could not then undertake the task of reviewing files to identify affected defendants. Both District Attorney representatives and CPCS highlighted the need for additional resources to undertake this task.

59. Meier also provided lists of those presently serving sentences in the Department of Correction, the Houses of Correction, and those presently committed to the Department of Youth Services to facilitate preparation of counsel for the stay hearings to take place in special Hinton Drug Lab sessions created by the trial court.

60. Attendance at the Meier "war room" meetings began to fall off as the

difficulties inherent in the task of reliably identifying all affected defendants became apparent. There has not been a “war room” meeting since November 15, 2012.

61. Information provided by Meier at a meeting with Superior Court Chief Justice Rouse on February 28, 2013, indicates that prospects for the imminent production of information that would reliably identify all of the defendants whose cases were handled by Annie Dookhan are grim.

62. Meier reported at that meeting that his ongoing review of the paper files from the Hinton lab is not revealing sufficient data in most cases to identify defendants whose cases were handled by Dookhan.

### **CONCLUSION**

63. To date, CPCS has assigned counsel in approximately 8,000 Hinton Lab cases, a small fraction of the number of persons whose due process rights have been violated by the fiasco.

64. If the trench warfare approach to the resolution of these cases is not averted, litigation of these cases will continue for many years at an incalculable cost to the people directly affected by the fiasco and the citizens of the Commonwealth.

65. The District Attorney for Middlesex County has recently rescinded the laudable policy that had guided his office's initial response to the Hinton Lab fiasco of assenting to (most) new trial motions and filing a nol prosequi in those cases in which it could be confirmed through discovery of all of the necessary drug lab papers that suspected contraband had been tested by Annie Dookhan.

66. For an example of the nol prosequi obtained by the few lucky defendants in Middlesex County Hinton Lab cases, see Attachment D to this affidavit.

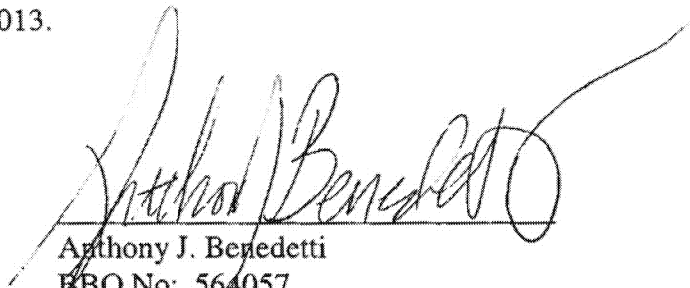
67. The concluding paragraph of Middlesex County's now unobtainable nol pros provides a fitting summary of the reasons this systemic issue requires the immediate exercise of this Court's superintendent and equitable powers:



The Commonwealth's filing of this Nolle Prosequi is due to these documented shortcomings and failures, at the DPH JP Hinton Lab, and by those responsible for the supervision and management of that Lab. These documented shortcoming and failures have compromised the MDA's ability to prosecute this case legally and factually, and raises issues of fundamental fairness in the pursuit of justice. Therefore, because the MDAO, on behalf of the public and consistent with our role and responsibility, needs to rely on evidence that is free from taint and that satisfies the required burdens of proof and persuasion, in a way that would be sufficient to obtain and sustain a criminal conviction beyond a reasonable doubt, we find that it is necessary to end this prosecution in a manner consistent with the law.

For the foregoing reasons, in the interest of justice, the Commonwealth will not further prosecute this case.

SIGNED UNDER THE PAINS AND PENALTIES OF PERJURY THIS  
12<sup>th</sup> DAY OF MARCH 2013.

A handwritten signature in black ink, appearing to read "Anthony J. Benedetti", is written over a horizontal line.

Anthony J. Benedetti  
BBO No: 564057  
Chief Counsel  
Committee for Public Counsel Services  
44 Bromfield Street  
Boston, MA 02108  
(617) 482-6212

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN et al.,

Petitioners,

v.

DISTRICT ATTORNEY FOR SUFFOLK  
COUNTY et al.,

Respondents.

**Affidavit of Thomas E. Workman Jr.**

I, Thomas E Workman Jr., state as follows:

1. I am an attorney, licensed to practice in the Commonwealth of Massachusetts, with an office at 120 Ingell Street, Taunton, Massachusetts 02780. I operate a solo practice of law and have handled many cases involving drug offenses.

2. I am also trained in computer forensics and have served as an expert witness in that area.

3. I am submitting this affidavit to bring my knowledge of criminal defense law and my computer forensic experience to bear on issues relating to misconduct in the Drug Lab at the William A. Hinton State Laboratory Institute in Jamaica Plain ("Hinton Lab"). This affidavit addresses the following subjects:

- a. the unusually high volume of drug samples that Annie Dookhan tested throughout her tenure in the Hinton Lab;
- b. evidence that the backlog of samples at the lab fell, rather than rose, in the wake of the Supreme Court's decision in Melendez-Diaz v. Massachusetts, 557 U.S. 305 (2009);
- c. the apparent miscalculation of drug weights by Ms. Dookhan;
- d. Ms. Dookhan's issuance of drug certifications for substances that were not illegal drugs;
- e. the limitations of the report by Attorney David Meier ("Meier Report"); and
- f. The historical failure of the Hinton Laboratory to insure that analysts actually were awarded the Science degrees that they represented as a requisite for hiring or promotion.

#### **Relevant Education and Experience**

4. I hold both a Bachelor of Science (BS) and a Master of Science (MS) degree from the University of Texas at Austin.

5. I know that a BA degree is not equivalent to a BS degree, nor is an MA degree equivalent to a MS degree. The

subject studied does not alone determine whether a BS or an MS degree will be awarded.

6. I previously held the position of Quality Manager for Hewlett Packard's Computer business, and in that capacity I established quality procedures for a multi-billion dollar part of HP's business.

7. I have represented over 1,500 clients as a criminal defense attorney and Bar Advocate in Bristol and Plymouth Counties.

8. Although I no longer accept appointed cases as an attorney for indigent clients, I maintain a database of the docket numbers associated with each case that I have handled as a criminal defense lawyer, as well as the applicable statute for each count of each criminal complaint.

9. Based on my review of that database, I believe that my appointed clients account for approximately 200 counts for which drug samples would have been submitted to a laboratory.

10. Consequently, I may have represented clients whose drug charges were improperly handled by the Hinton Lab.

11. I presently spend a majority of my time assisting courts with technical issues that relate to forensic issues. I have testified by affidavit or in person as an expert over 600 times in 25 states and Canada.

12. This work relies on experience I gained before attending law school, when I spent a significant portion of my

career managing manufacturing functions for companies like Hewlett Packard, also serving as a Quality Manager.

13. I have been responsible for the collection and analysis of data in order to improve the yield and quality of manufacturing processes. The data collected by the Hinton Lab is similar to the types of data that I have collected and analyzed in my professional work.

14. I served on the Institute of Electronic and Electrical Engineers Computer Standards committee, which was responsible for selecting what standards should be established, and how those standards were developed. I was co-chair of the committee that wrote the standard on measuring software reliability.

15. As a Quality Manager, I have managed the process for constructing and implementing standards that insure quality and correctness, and by which processes are designed to improve the functions of measuring and reporting. This experience permits me to study and comment on the documented processes used at the Hinton Lab.

16. As a Quality Manager, I also had experience with measurement equipment and techniques similar to those used in the Hinton Lab to evaluate suspected drugs.

17. I have also taught Scientific Evidence as an adjunct professor at the University of Massachusetts Law School, Dartmouth. My course includes a module on drug testing, and I have taught specifically about the problems at the Hinton Lab.

### Analysis of Data Regarding the Hinton Lab

18. I have conducted a forensic analysis of certain available data relating to the Hinton Lab during Ms. Dookhan's tenure. This data has come from multiple sources.

19. One source of data is discovery that state prosecutors have turned over to defense attorneys who are working on drug lab cases.

20. Another source of data is a compact disk prepared by the Executive Office of Public Safety and Security ("EOPSS") and made available to defense lawyers. The EOPSS Disk contains data relating to tens of thousands of samples for which Ms. Dookhan was either the "primary" or "secondary" chemist.

21. I am familiar with the process of assigning a primary chemist and a secondary chemist in the analysis process.

22. The primary chemist is responsible for establishing the weight of the sample, and for performing a preliminary analysis of the sample.

23. If the primary chemist determines that the substance is illegal to possess, the secondary chemist tests the sample using a confirmatory testing process. A confirmatory process is by definition a more precise process with few false positive results. The dual column Gas Chromatograph is an accepted confirmatory testing instrument for the analysis of drug samples.

24. Because I handled drug-related matters as a defense attorney between 2003 and 2012, I requested and obtained a copy of the EOPPS Disk.

25. The data on the EOPPS Disk reveals information about the functioning and failures of the Hinton Lab.

26. The EOPPS Disk also contains criminal offender record information ("CORI"). A non-disclosure form that I signed in order to obtain the EOPSS Disk purports to limit the dissemination or reproduction of "information contained" on the disk.

27. Thus, instead of reproducing data contained on the EOPSS Disk, this affidavit presents information generated by my analysis of the information contained on the EOPSS Disk.

28. The analysis in this affidavit, in my view and after consulting advice of counsel, does not constitute CORI information.<sup>1</sup> Accordingly, I believe that neither the CORI law nor the EOPSS non-disclosure agreement limits my ability to present this Court with my independent, statistical analysis of data from the EOPSS Disk.

29. My analysis of this data leads to several conclusions.

---

<sup>1</sup> Criminal offender record information is "records and data in any communicable form compiled by a Massachusetts criminal justice agency which concern an identifiable individual." G.L. c. 6, s. 167. CORI does not include "statistical and analytical reports and files in which individuals are not directly or indirectly identifiable."

**During Her Entire Tenure in the Hinton Lab, Ms. Dookhan  
Tested an Unusually High Volume of Samples**

30. The data show that Ms. Dookhan claimed to have performed a high volume of tests very early on in her tenure at the Hinton Lab.

31. To assess Ms. Dookhan's volume of testing, I created a "scatter chart" of testing data appearing in discovery supplied by the Suffolk District Attorney's Office.

32. This scatter chart shows that, from late 2003 to early 2006, Ms. Dookhan often claimed to have tested over 1000 samples per month. In September of 2004 alone, for example, she reportedly tested over 1300 samples. Relatedly, the data do not support a claim that Ms. Dookhan's misconduct began during her last years at the Hinton Lab, rather than at the outset of her tenure.

33. Although Ms. Dookhan's reported rate of testing was high in late 2009 and in 2010, her rate was no higher than it had been from 2004 to early 2006, suggesting that she engaged in the same misconduct during the entire time when she worked in the Hinton Lab.

**The Data Do Not Support the Claim that Ms. Dookhan Engaged in  
Misconduct only after *Melendez-Diaz***

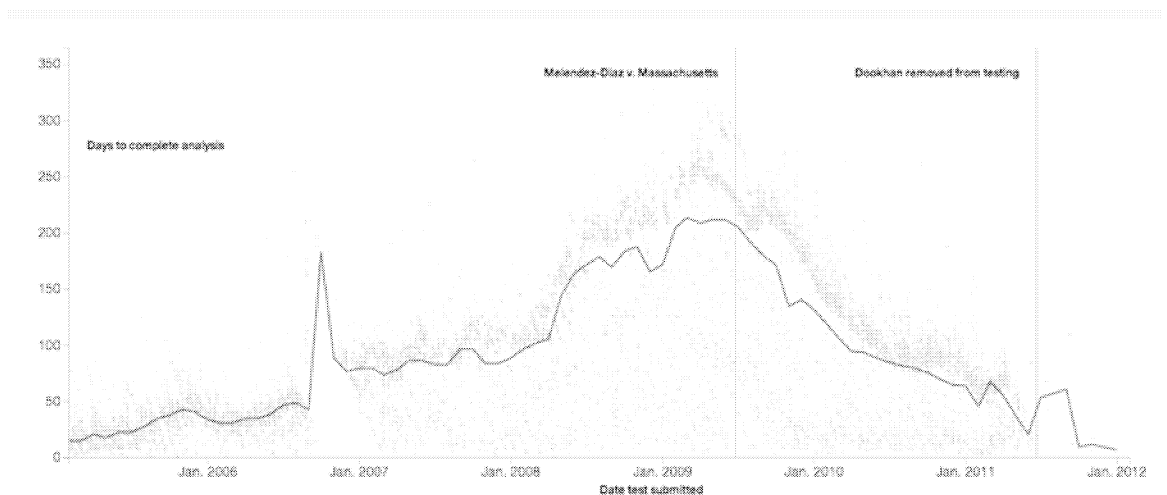
34. Moreover, the data tend to refute the claim that Ms. Dookhan might have initiated her misconduct in response to a supposed backlog of work created by the U.S. Supreme Court's decision in Melendez-Diaz v. Massachusetts, 557 U.S. 305 (2009).



35. To assess this "backlog" claim, I created a scatter chart designed to depict the magnitude of the Hinton Lab's backlog over time. The scatter chart shows, for each drug sample on the EOPSS Disk, the length of time between when it arrived at the Hinton Lab and when a drug certification was issued.

36. In charting that data, I learned that the average "wait time" between the arrival of a sample and the issuance of a drug certification actually fell following the Melendez-Diaz decision. Specifically, wait times fell from roughly 8 months in January 2010 to about 2 months in April 2011.

37. I discussed this method of analysis with the technical staff of WBUR. WBUR independently obtained the EOPS data and constructed a similar graph. I have compared my graph to WBUR's graph, and they show the same information. The WBUR graph is available on the WBUR website, at this address: <http://badchemistry.wbur.org/2013/05/15/annie-dookhan-drug-testing-productivity> and the graph is reproduced here from the WBUR website:



38. Thus, at least for the samples tested by Annie Dookhan, the backlog at the Hinton Lab, as measured by the improved time to evaluate a sample measured from the date the lab received the sample, appeared to be falling steadily for the two years prior to when her misconduct became publicly known.

39. For that reason, a rising backlog in the wake of Melendez-Diaz cannot explain Ms. Dookhan's misconduct, because it appears there was not a rising backlog in the wake of Melendez-Diaz.

40. In addition to communicating the trend of time required to complete an analysis of a sample, the chart also disclosed that samples are not processed in the order that they are received.

41. In addition to those samples processed with a formal expedite request, many samples were processed before it was their turn, without any formal expedite.

42. Handling samples out of turn suggests either a poor method of selecting the next sample to analyze, or an interference with the proper order of analysis, such as a chemist doing a favor for law enforcement officers.

**Ms. Dookhan Appears To Have Consistently Miscalculated the Weight of Drug Samples that She Tested**

43. The data from the Hinton Lab raise a serious question about the accuracy of drug weights in cases where Ms. Dookhan served as the primary chemist and weighed the samples.

44. The EOPSS Disk makes it possible to compare samples weighed by Annie Dookhan against samples not weighed by Ms. Dookhan, because it includes samples for which she was the primary chemist (who weighs the sample) and samples for which she was the secondary chemist (who does not weigh the sample).

45. Relying on this information, I calculated the average weight of the drug samples weighed by Ms. Dookhan (samples for which she was the primary chemist) for each month where the Hinton laboratory provided data on the weights of samples evaluated. Likewise, I calculated the average weight of the drug samples weighed by other chemists (samples for which Ms. Dookhan was the secondary chemist) for each month where the weights of samples were provided in the data. I then charted the results (attached hereto as Exhibit A).

46. As Exhibit A shows, in 32 of the 41 months from April 2008 through July 2011, the average weight of samples tested by Ms. Dookhan was higher than the average weight of samples tested by other chemists.

47. This result is not what random chance would predict. If drug samples were randomly assigned and accurately weighed, there would be no reason to expect that drug samples weighed by Ms. Dookhan would be consistently heavier than samples weighed by other lab personnel.

48. Yet that is what happened; in 32 out of 41 months, Dookhan's samples were heavier, and by an amount that cannot be explained by chance. That outcome is like conducting a series of

coin flips every month for 41 months, and getting an average of three times as many heads in 32 of those months. The probability of that happening is very small.

49. The average weight for samples measured by Dookhan were approximately 3 times that of samples measured by other chemists.

50. Both the magnitude of the different average weight of drug samples, and the frequency that samples were measured to be higher, are of concern.

51. I have reviewed state police interviews of Dookhan and others in the Hinton Laboratory that suggested that Dookhan did not calibrate her weighing scales as required by procedures in the laboratory. In my opinion, this deficiency would not account for the differences in weights of samples observed.

52. The State Police interviews disclose that Dookhan had discussions with prosecutors regarding the weights associated with a drug sample that would result in a longer sentence. If Dookhan "put her thumb" on the scales in order to produce higher sample weights, or simply wrote down weights that were more than what her scale indicated, without any video evidence of the weighing protocol, there would be no way to confirm that this was the reason for the heavier weights.

53. If an assumption was made that the samples were not contaminated by the mixing of different samples together, a process that Dookhan admitted to state police that she had practiced, then a re-weighing of samples that Dookhan weighed

could be performed to estimate both the extent of the samples that were reported with weights that were over-reported by Dookhan, as well as the amount of over-statement that was entered for weights by Dookhan.

54. These results strongly suggest that either the assignment of samples to Ms. Dookhan as the first chemist was not random, or else that her weight measurements were not accurate. If the samples were randomly assigned, then Dookhan tended to over-report the accurate weight of the samples she analyzed.

**Ms. Dookhan Appears to Have Issued Drug Certifications for  
Substances that Were Not Illegal Drugs**

55. Ms. Dookhan issued numerous drug certifications for substances that are not illegal drugs.

56. For example, over 100 of the certifications reported on the EOPSS Disk are for Ibuprofen. Approximately half of the Ibuprofen samples resulted in a drug certification that reported the Ibuprofen to be a class E drug, the other half reported that the sample was not an illegal sample. The number of Ibuprofen samples, and the size of the tablet dispensed, can be viewed on the WBUR website, [badchemistry.com](http://badchemistry.com). The result, "illegal" or "not illegal" can only be observed by examining the state EOPS CDROM data.

57. Dookhan also issued a drug certificate for a class E drug that she determined was Sodium Chloride, the chemical name for common table salt.

58. There are significant disparities among district attorneys' offices when it comes to expediting samples.

59. For example, the Suffolk County District Attorney's Office formally expedited about 20% of its samples, compared to Bristol County where only about 4% of the samples were formally expedited.

60. Since the percentage of samples is very different, and not the absolute number of samples, it is likely that the service provided by the Hinton laboratory is different depending upon how far you are from the laboratory, and how much personal contact you have with members of that county's law enforcement/prosecutorial personnel.

**The Meier Report Is an Important First Step But Does Not Solve  
All of the Problems Due to Ms. Dookhan's Misconduct**

61. I have reviewed attorney David E. Meier's August 2013 report entitled, "The Identification of Individuals Potentially Affected by the Alleged Conduct of Chemist Annie Dookhan at the Hinton Drug Laboratory: Final Report to Governor Deval Patrick".

62. From my perspective as an attorney and a forensic analyst, it is important to understand the limitations of the Meier Report.

63. The Meier Report explains (at p.12) that it is an attempt to identify the "names of individuals upon whose drug samples Ms. Dookhan performed testing as a primary chemist or a secondary (confirmatory) chemist from 2003 to the present."

64. To that end, the Meier Report states (at p.12) that attorney Meier's team generated a "master list" of 40,323 names.

65. According to the Report (at p. 12), "[t]he list is organized by county, and for most of the 40,323 names, includes individual entries reflecting the corresponding town, the corresponding law enforcement agency, the name of the police officer who submitted the drug sample to the laboratory, the date the drug sample was submitted, the internal Hinton Laboratory sample number, the results of the drug testing, and the drug submission (or drug receipt) form."

66. The Meier Report's "master list" is not, and does not contain, a list of case names or docket numbers.

67. In fact, the Meier Report does not describe any comprehensive effort – for example, by using the "Massachusetts Courts" web site ([www.mass.gov/courts](http://www.mass.gov/courts)) – to identify the relevant docket numbers, counts, and defense attorneys associated with the 40,323 names in the "master list."

68. Yet, unless such information is obtained, the "master list" is not by itself particularly useful to defense attorneys seeking to vindicate the rights of their clients or former clients.

69. A name alone provides incomplete and sometimes misleading information about a case. For example, the name associated with a drug sample can be an alias or a common name

(i.e., "Jim Smith") that cannot easily be used to identify the relevant defendant.

70. Likewise, only the specific docket number assigned to a defendant's case can be used to ascertain crucial information about that case, such as the county, the criminal charges, the evidence, the disposition, and the defense attorney.

71. The Meier Report is a first step towards identifying the specific cases affected by Ms. Dookhan's misconduct. From my perspective as a defense attorney and forensic computer analyst, the list simply does not indicate how many or precisely which cases were affected by Ms. Dookhan's conduct.

72. To its credit, the Meier Report appears to acknowledge these limitations. Rather than promising that the "master list" alone will enable defendants and their attorneys to identify specific cases affected by Ms. Dookhan's misconduct, the Meier Report states (at p.13) that the list "should enable the District Attorneys and/or the respective law enforcement agencies to locate the applicable police reports, arrest/booking records, and any other related materials."

73. Thus, even assuming the "master list" is both complete and completely accurate, its value expressly hinges on the willingness of prosecutors and police officers to supply additional documents.

74. It is unclear, however, whether the "master list" is in fact complete and accurate.



75. For example, it has been alleged that Ms. Dookhan forged the initials or signatures of lab personnel. If there are samples for which Ms. Dookhan served as the primary or secondary chemist, but for which she signed someone else's name, then those samples might not appear on the "master list."

76. Similarly, unlike a scientific or forensic report, the Meier Report does not describe the methodology used to identify names and check for accuracy.

77. Nor was the Meier team's work subjected to public hearings or auditing. Thus, so far as I am aware, there is no systematic means of independently checking the Meier Report for completeness or accuracy.

78. Indeed, I am personally confronted with the limitations of the Meier Report. I represented as a bar advocate, in Plymouth and Bristol Counties, cases in which drug samples likely would have been processed by the Hinton Lab.

79. Specifically, approximately 200 counts that I handled were drug-related, for which I would expect that there would be a drug sample. I maintained a database of all of the docket numbers and counts for clients whom I represented.

80. Yet, for two reasons, I am unable to utilize the Meier Report to identify which of my former clients are associated with samples on which Ms. Dookhan worked.

81. First, although an illustrative sample of the "master list" is attached as Exhibit B to the Meier Report, the actual

"master list" has not been provided to private defense counsel like me. I have never seen it, and I have not been informed if or how I might obtain a copy.

82. Second, even if I had the "master list" in hand, it apparently would not list docket numbers that I could match up against the docket numbers of my former clients' cases. Thus, to learn whether my former clients are on the "master list," I would need to conduct time-consuming research and investigation. Thus, from a forensic standpoint, the Meier Report does not provide sufficient information about the cases implicated by Ms. Dookhan's misconduct.

83. As soon as docket numbers are assigned to each of the samples in the Hinton laboratory database, the MASSCOURTS database used to manage the court system in Massachusetts can easily associate the name of a defense attorney, as well as the BBO number of that attorney, for every defendant deemed aggrieved by Dookhan's malfeasance.

84. The inability of associating docket numbers with drug lab samples is not a deficiency of the Meier report or process, but rather is the direct result of this information not being captured and recorded in either the Court databases, nor in the crime lab databases that have been disclosed to me.

### **Failure of the Labs to Provide Scientists to Analyze Drugs**

85. Ms. Dookhan pled guilty to a charge arising from allegations that she falsely represented to courts that she had been awarded a Master of Science degree in Chemistry.

86. Kate Corbett was recently investigated, as a result of a process to reinstate three analysis who formerly worked at the Hinton crime laboratory.

87. Based on a review of Ms. Corbett's college transcript, the State Police determined that Ms. Corbett was never awarded a BS degree in Chemistry.

88. When a document is produced by a Crime Laboratory as to the weight and makeup of a sample that is analyzed by a crime lab employee, there is a representation that the person is qualified to make the analysis and report the results.

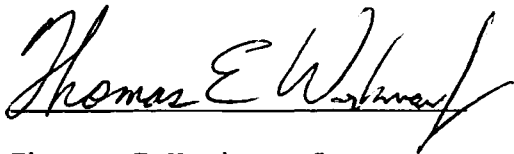
89. Indeed, Ms. Corbett stated to the State Police that she did not disclose that her degree was a BA in Sociology, because she did not think that relevant to her work in the crime laboratory.

90. Ms. Corbett is correct in understanding that many Judges and Juries would be reluctant to convict a defendant charged with a drug related charge, if they knew that the tests had been carried out by a person with a Bachelor of Arts in Sociology.

91. The information relating to Ms. Corbett suggested that her review was part of three individuals undergoing confirmation of degrees. If this is the total investigation, then two out of four analysts, or half, have been confirmed to have claimed false degrees.

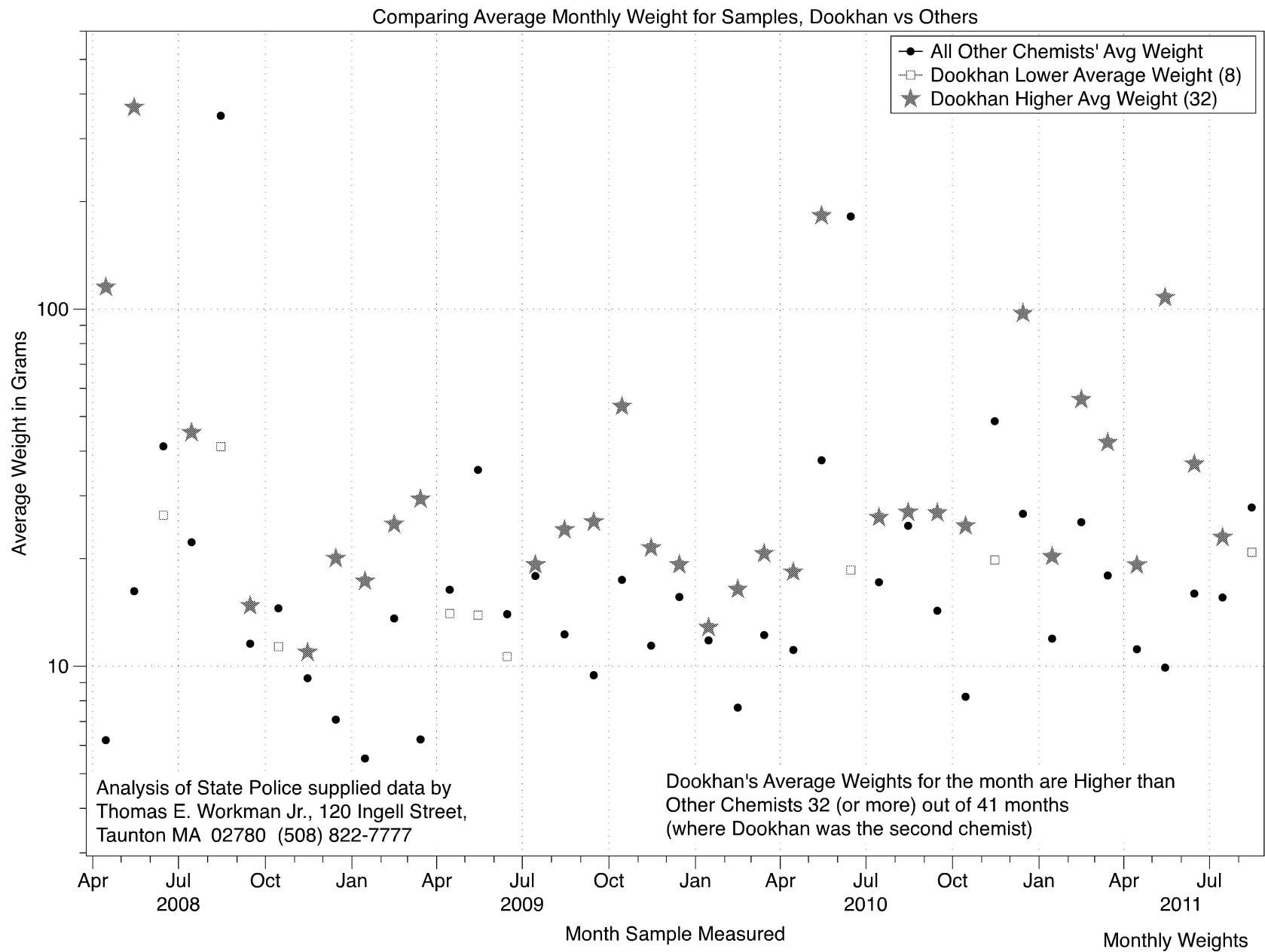
92. It is unknown whether the degrees claimed by all of the "scientists" who analyze forensic evidence have been rigorously confirmed. We do know that Corbett's was not confirmed until just this past month.

Signed under the pains and penalties of perjury this 3<sup>rd</sup> day of January, 2014,

A handwritten signature in black ink, reading "Thomas E. Workman Jr." with a stylized flourish at the end.

Thomas E Workman Jr.

EXHIBIT A



COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,  
Petitioners,  
v.  
DISTRICT ATTORNEY for Suffolk  
County, et al.,  
Respondents.

**AFFIDAVIT OF JOANNA SANDMAN**

I, Joanna Sandman, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.
2. Since 2008, I have been an attorney with the Committee for Public Counsel Services (CPCS). During my first two years with CPCS, I worked in the Boston District Court office and handled cases out of the Boston Municipal Court Central Division and the Chelsea District Court. During the next two years, I worked in the Norfolk Superior Court office and handled Superior Court charges originating in the Quincy

District Court, Dedham District Court, and Brookline District Court, and followed these cases to Norfolk Superior Court. For the past year and a half, I have been working in the Boston Superior Court office, where I handle Superior Court charges originating in the Dorchester and Central Divisions of the Boston Municipal Court, as well as Chelsea District Court, and follow these cases to Suffolk Superior Court. In the course of my practice, I have handled approximately seventy drug cases, including charges of possession, possession with intent to distribute, distribution, and trafficking.

3. In the spring of 2012, I became aware that Annie Dookhan had mishandled evidence in 90 cases at the Hinton Lab. At this time, I was working in the Norfolk Superior Court office, and the Norfolk District Attorney's Office provided information relating to Annie Dookhan to me.
4. In August 2012, when Annie Dookhan's malfeasance was more fully reported, I became aware that these 90 cases were just a small piece of much larger failures at the Hinton Lab.
5. Since then, I have worked to identify clients who had cases handled by Annie Dookhan. To do so, I relied in



part on a list provided to CPCS. I also reviewed my case files. Because I had obtained some of my clients' drug certificates during discovery, I was able to check those on which Annie Dookhan was either the primary or the secondary analyst. I also reached out to contacts in the Suffolk County District Attorney's Office and the Norfolk County District Attorney's Office to obtain drug certificates on clients who I represented on drug matters, but did not have the drug certificates for.

6. I ultimately identified five clients who had pled guilty and were then serving sentences in cases in which Annie Dookhan was either the primary or secondary analyst.
7. While I have been able to determine that Annie Dookhan was not the chemist in at least some of the drug cases I worked on, I have not been able to identify and act on behalf of all my past clients who were affected by Annie Dookhan.
8. Specifically, I have made attempts to contact those clients who have completed their sentences to inform them of the failures at the Hinton Lab and to determine whether they would like to challenge their

convictions, but have not been able to track down all of them.

9. Further, I have not yet obtained a copy of the drug certificates in all of the drug cases I worked on, and I continue to await the Inspector General's report to see if this list identifies misconduct or negligence affecting additional clients.
10. I represented one client in Suffolk County who has served his sentence but sought assistance vacating his plea. The Suffolk County District Attorney's Office opposed every request I made, including opposing the motion to vacate, and refusing to work out any agreed resolution for any defendants, including my client, who had completed their sentences.
11. In all of the five cases in which Annie Dookhan was the primary or secondary chemist and the clients were currently serving sentences, the charges were in Norfolk County. The Norfolk County District Attorney's Office approached these cases very differently than did Suffolk County, and appointed one person, Suzanne O'Neill, to handle most of the Dookhan cases. For the most part, the Commonwealth agreed to the motions to vacate, but the outcome following the motions to vacate varied. Some cases were "nolle

crossed." The Commonwealth was willing to resolve others only for time served or, in the alternative, by putting the case back on the trial list.

12. For my clients who accepted pleas to time served, there have been collateral consequences to these pleas. In particular, I have clients who cannot obtain drivers licenses until a statutorily-prescribed period of time has run from the plea date. For some clients, this has adversely affected their ability to find and maintain employment.
13. Given the differences in the treatment of cases between counties, it seems unlikely that post-conviction challenges raised by defendants in cases handled by Annie Dookhan are being treated consistently throughout the state. To the contrary, it appears that the outcome can vary considerably depending on the county in which the case originated, and which assistant district attorney is assigned to the case.
14. Further, because these cases are new and novel, it has taken me longer to get up to speed on procedure and law, and I did not know how to obtain this information or how to educate myself on best practices for

handling these cases. This has made handling Dookhan cases particularly burdensome.

Sworn to this 30<sup>th</sup> day of December 2013 under the pains and penalties of perjury.

  
Joanna Sandman

COMMONWEALTH OF MASSACHUSETTS  
SUPREME JUDICIAL COURT

DOCKET NO.:

KEVIN BRIDGEMAN, et al.,

Petitioners,

v.

DISTRICT ATTORNEYS for Suffolk  
County, et al.,

Respondents.

**AFFIDAVIT OF VERONICA WHITE**

I, Veronica White, state as follows:

1. I am an attorney licensed to practice law in the Commonwealth of Massachusetts.
2. I am the Chief Executive Officer of White & Associates, P.C. in Boston, Massachusetts. My practice focuses on criminal defense. I have been practicing criminal defense for nearly 15 years, and during that time have represented dozens of clients charged with various drug offenses in both the District Courts and Superior Court in Suffolk County

and other Superior and District Courts in Plymouth, Essex, Middlesex and Worcester Counties.

3. Given the overlap between my criminal defense work and Annie Dookhan's tenure at the Hinton Lab, many of my clients have potential challenges to their convictions. I am currently representing several clients in post-conviction cases who have constitutional claims arising from evidence testing that took place in the Hinton Lab, in cases in which Annie Dookhan was the primary or secondary chemist and in cases in which testing was performed by other chemists at the Hinton Lab during the period that Annie Dookhan was committing misconduct.
4. I learned of the misconduct at the Hinton Lab in a piecemeal fashion: I first learned of possible problems with Annie Dookhan in June, 2012 as part of discovery requests that I made in an open case. At that point, I was specifically informed that the misconduct was limited to 90 cases in Norfolk County. By September, 2012, I was aware that the misconduct was far-reaching. I learned of the true severity of Annie Dookhan's misconduct through the media initially, and then gained more information from discovery in various open and post-conviction cases.

5. Notably, one client accepted a plea deal just before the extent of the Dookhan scandal became public, a plea I am now seeking to vacate. Prior to the same client going ahead with the plea colloquy on this case, I was never informed by the Suffolk County District Attorney's office that the Massachusetts State Police had taken over the Hinton Lab and had already begun the process of interviewing chemists from the Hinton Lab.
6. Consequently, I was later surprised to read, in a letter from the Attorney General's Office dated September 20, 2012, the assertion that during the investigation in the Hinton Lab, the Attorney General's Office "identified serious concerns about the integrity of the cases that the chemist analyzed and **immediately shared that information with appropriate stakeholders.**" (Review Letter is attached hereto).
7. I used various methods to locate and identify potential former clients who may have had evidence tested in the Hinton Laboratory and/or tested by Annie Dookhan. I went to my storage facility and manually searched through the paper files of all my private and appointed cases from 2003 onward for any client whose

file contained drug certificates. I then checked those certificates to see if they indicated that Annie Dookhan or another chemist at the Hinton Lab performed the analysis. I also checked the database provided to defense counsel of cases tested by Annie Dookhan. Additionally, some former clients contacted me directly or contacted CPCS, which then reached out to me through Suffolk Lawyers for Justice. Finally, some new clients sought to retain me in a private capacity to represent them in post-conviction proceedings, and I have also been appointed to represent several clients who have potential post-conviction Hinton Lab issues. I cannot be sure that I have identified all potentially affected clients, and I am not sure I will ever have full confidence, given the breadth of the undertaking.

8. I have faced multiple problems in litigating these cases. In all of the cases, the discovery produced is voluminous, poorly organized, and very difficult to review. There is no central database for the documents provided, no table of contents for much of the discovery, and no coherent bates numbering across the provided documents. Further, discovery is often produced in a piecemeal and incomplete fashion, making



it extremely difficult to determine what has and has not been provided.

9. Additionally, in the vast majority of cases where I have filed Rule 17 motions for discovery, courts have been extremely hesitant to grant relief for failure to comply with court orders, and the government has been less than candid regarding the existence, accessibility, and timeline for production of discovery under Rule 17. Indeed, in one case the Commonwealth issued a Nolle Prosequi on the same date that they were compelled to produce discovery and answer to a previously filed Rule 17 discovery motion(See Redacted Nolle Prosequi, attached hereto).
10. By way of additional example, I represented one client in post-conviction proceedings who was tried and convicted in Suffolk County, in whose case Annie Dookhan was the primary chemist. I have filed various motions for post-conviction discovery, including an allowed Rule 17 motion in which the Department of Public Health was ordered to produce audits and performance evaluations of Annie Dookhan, Quality Control and Quality Assurance documents from the Laboratory, and other documentation. While some have

been produced, much of this ordered discovery is still outstanding.

11. The pace of relief is incredibly slow. I represented another client whose drug certificate of analysis indicated that the evidence in his case had allegedly been tested by Annie Dookhan as the primary chemist and Daniel Renczkowski as the secondary chemist. However the drug file demonstrated that all GCMS tests were done by a user logged in with Annie Dookhan's computer identification, leading us to deduct that Annie Dookhan had served as both the primary and secondary chemist on the case. My client's attempts to obtain an expedited bail hearing upon learning of this information was stifled by the Commonwealth's refusal to agree upon a court date for a bail hearing. That client eventually accepted a plea deal of time served against my advice, because the lack of relief was so severe that he simply wanted to end the ordeal of his prosecution.
12. There has also been no uniform action by the various District Attorney's Offices across the Commonwealth regarding these cases. I represented a defendant in a drug case in Middlesex County which arose from testing at the Hinton Lab, but not involving Annie Dookhan as

a primary or secondary chemist. That case was dismissed by the prosecution because the Middlesex District Attorney's office's "ability to prosecute this case legally and factually has been compromised and the alleged failures and misconduct raise issues of fundamental fairness in the pursuit of justice." The Middlesex DA office further stated in its Nolle Prosequi: "The MDAO, on behalf of the public and consistent with our role and responsibility must rely on evidence that is free from taint and that satisfies the required burdens of proof and persuasion, in a way that would be sufficient to obtain and sustain a criminal conviction beyond a reasonable doubt and therefore, we find that it is necessary to end this prosecution in a matter consistent with the law."

(Redacted Nolle Prosequi is attached hereto).

13. Meanwhile, in Suffolk County, I have been fought tooth and nail in every single Annie Dookhan case, where prosecutors have opposed all my efforts to secure relief, seemingly as a matter of course.
14. Further, courts have asked the impossible of my clients. In Suffolk County, I have had several motions to vacate guilty pleas denied in cases where Dookhan performed the testing because the court found that I

was unable to actually show that there had been misconduct in that specific case. This seems an impossible burden to place on defendants, because the lab has been sealed off and the defense bar has no means to access records or evidence that might demonstrate which specific cases Dookhan committed misconduct--if such evidence even exists, which seems unlikely. Further, these rulings have been made without ever holding an evidentiary hearing that might have allowed examination of witnesses who could shed more light on specific instances of misconduct or, conversely, who could testify to the opaque processes in place at the Hinton Lab that make demonstrating misconduct in a specific case difficult, if not impossible.

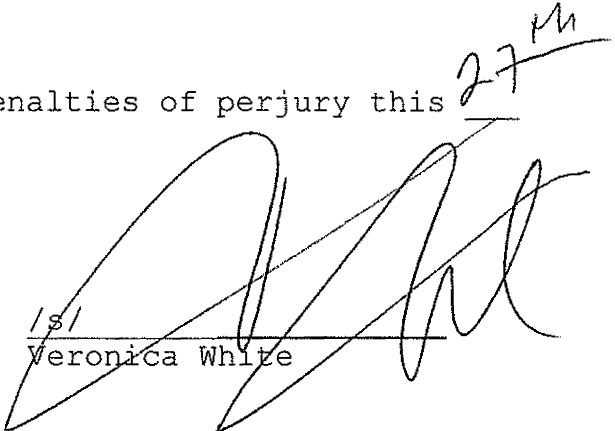
15. Several clients have expressed concern that if their convictions are vacated, the Commonwealth will pursue their cases with heightened vigor and that they will essentially be punished for "fighting the system." These clients are worried that if they try to fight their conviction and their convictions are overturned, they may be saddled with high mandatory minimums if reconvicted. I cannot assure clients that this will not happen.

16. While awaiting resolution of their Hinton Lab cases, many of my clients are still incarcerated, and have been jailed for extended periods of time on the basis of this tainted and unreliable evidence. I also have clients facing serious immigration issues requiring rapid filing of motions to vacate or motions for a new trial in order to prevent potential deportation. During the pendency of their proceedings, these clients remain in immigration limbo and remain in constant fear of deportation.
17. My clients have faced significant collateral consequences due to the delay and generally poor handling of these cases. One client has lost several jobs after he was forced to wear a GPS bracelet as a condition of his release. He was constantly contacted, both by phone and in person, by the GPS monitoring office when, during the normal course of his employment, he would lose the GPS signal upon entering food freezers, or, during transit to work, he would lose signal when the T was underground. This same client was also removed from his home and incarcerated over night by the police who had unreliable information that my client had violated the conditions of the GPS monitoring when in fact that

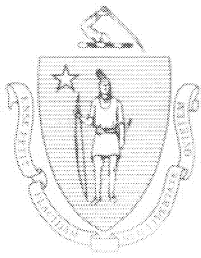
client had abided by the conditions and his GPS monitor was in place. The Court refused to grant my client relief from the GPS monitoring conditions despite these complications. Several clients have expressed to me that they have trouble sleeping, feel anxiety and uneasiness, and have experienced heightened headaches when having to live their lives with the GPS monitoring device on their ankle day-in and day-out.

18. I have another client who is facing deportation to Nigeria as a result of a Dookhan conviction. He faces very real risks in Nigeria, where, because of a property dispute, he believes he will be a target. These risks range from significant additional jail time to death, given the state of unrest and the extent of civilian killings.

Signed under the pains and penalties of perjury this 27<sup>th</sup>  
day of December, 2013.

  
/s/  
Veronica White

# **WHITE ATTACHMENT A**



MARTHA COAKLEY  
ATTORNEY GENERAL

THE COMMONWEALTH OF MASSACHUSETTS  
OFFICE OF THE ATTORNEY GENERAL

ONE ASHBURTON PLACE  
BOSTON, MASSACHUSETTS 02108

(617) 727-2200  
[www.mass.gov/ago](http://www.mass.gov/ago)

September 20, 2012

Joseph Early, Esq.  
District Attorney Worcester County  
President Massachusetts District Attorneys Association  
c/o Massachusetts District Attorneys Association  
One Bullfinch Place, Suite 202  
Boston, Ma. 02114

Anthony J. Benedetti, Esq.  
Chief Counsel  
Committee for Public Counsel Services  
44 Bromfield Street  
Boston, Ma. 02108

**RE: Attorney General's review of drug analysis conducted at the Hinton  
Laboratory in Jamaica Plain**

Dear District Attorney Early & Chief Counsel Benedetti,

This July, the Attorney General's office began a criminal investigation into the actions of a particular chemist in the drug analysis unit of the Hinton Laboratory in Jamaica Plain. During this investigation, we identified serious concerns about the integrity of the cases that the chemist analyzed and immediately shared that information with appropriate stakeholders. We have received cooperation from current and former employees of the laboratory and at this time we do not have reason to believe other chemists were involved in similar alleged misconduct. Our criminal investigation into the actions of the individual chemist continues.

At the request of the Administration, the Attorney General has agreed to also conduct a broader review of the drug analysis unit at the Hinton Laboratory. Our review is focused on whether any failures at the laboratory impacted the reliability of the results on cases beyond those handled directly by the chemist.

The review will be led by Helene Kazanjian, Chief of the civil Trial Division at the Attorney General's office and a former federal prosecutor. We also intend to retain independent forensic experts to conduct an assessment of the reliability of the testing results.

We know these issues are critically important for the criminal justice system to address, especially for those persons previously charged and convicted of crimes, in part, based on scientific





results from the Hinton Laboratory. We intend to move as quickly as possible and have already begun the process.

We will share the results of this review with stakeholders in the criminal justice system – including prosecutors, the defense bar, and the courts – so that any appropriate action can be taken in the interests of justice.

Sincerely,



Edward R. Bedrosian Jr.  
First Assistant Attorney General

cc: Mark Reilly, Governor's Legal Counsel  
Max Stern, Esq.  
Jack Pirozollo, First Assistant United States Attorney  
Mary Beth Heffernan, Secretary, Executive Office of Public Safety and Security  
Dr. JudyAnn Bigby, Secretary, Executive Office of Health and Human Services  
Massachusetts District Attorneys Association  
Joe Dorant, Massachusetts Organization of State Engineers and Scientists

# **WHITE ATTACHMENT B**

## COMMONWEALTH OF MASSACHUSETTS

MIDDLESEX, ss.

MALDEN DISTRICT COURT  
DOCKET NO.

COMMONWEALTH

v.

---

NOLLE PROSEQUI

---

Now comes the Commonwealth in the above-entitled matter and states the following:

1. The defendant is charged with Distribution of a Class A substance and a School Zone violation.
2. The alleged controlled substance was submitted for analysis to the William A. Hinton State Laboratory ("Hinton Laboratory") in Jamaica Plain, MA during the years 2003-2012.
3. On August 30, 2012, the Massachusetts Executive Office of Public Safety closed the Hinton Laboratory.
4. Since then, the Office of the Attorney General, in conjunction with the Massachusetts State Police, has been conducting a criminal investigation into allegations of malfeasance by former chemist Annie Khan Dookhan in the course of her employment at the Hinton Laboratory, spanning the years 2003-2012. The alleged malfeasance involves thousands of potentially tainted drug samples.
5. On December 17, 2012, Ms. Dookhan was indicted in Suffolk Superior Court in a 15-count indictment alleging numerous crimes, including perjury, witness intimidation, tampering with evidence, and misleading the Court. In addition, Ms. Dookhan has been indicted for other offenses in other counties.
6. On November 5, 2012, the Massachusetts Inspector General began an investigation into the internal operations of the Hinton Laboratory. That investigation is ongoing.
7. As a result of these investigations, the Middlesex District Attorney's Office ("MDAO") has received documents which chronicle the alleged criminal conduct by Annie Dookhan and the shortcomings and failures at the Hinton Laboratory.

The Commonwealth's filing of this Nolle Prosequi is due to Annie Dookhan's alleged criminal misconduct and the documented evidence of the shortcomings and failures at the Hinton Laboratory. The MDAO's ability to prosecute this case legally and factually has been compromised and the alleged failures and misconduct raise issues of fundamental fairness in the pursuit of justice. The MDAO, on behalf of the public and consistent with our role and responsibility, must rely on evidence that is free from taint and that satisfies the required burdens of proof and persuasion, in a way that would be sufficient to obtain and sustain a criminal conviction beyond a reasonable doubt and, therefore, we find that it is necessary to end this prosecution in a manner consistent with the law.

For the foregoing reasons, in the interest of justice, the Commonwealth will not further prosecute this case.

Respectfully submitted  
For the Commonwealth,

MARIAN T. RYAN  
DISTRICT ATTORNEY

By: 

Anna Evans  
Assistant District Attorney  
14 Summer Street  
Malden, MA 02148

DATED: 2013

# **PETITIONER KEVIN BRIDGEMAN**

Commonwealth of Massachusetts  
SUFFOLK SUPERIOR COURT  
Case Summary  
Criminal Docket

DPH-00020-FY13

### Commonwealth v Bridgeman, Kevin

Details for Docket: SUCR2005-10357

#### Case Information

<b>Docket Number:</b>	SUCR2005-10357	<b>Caption:</b>	Commonwealth v Bridgeman, Kevin
<b>Entry Date:</b>	06/02/2005	<b>Case Status:</b>	Magistrate Ctrm 705
<b>Status Date:</b>	10/04/2005	<b>Session:</b>	Disposed (sentenced)
<b>Lead Case:</b>	NA	<b>Deadline Status:</b>	Active since
<b>Trial Deadline:</b>	06/28/2005	<b>Jury Trial:</b>	NO

#### Parties Involved

2 Parties Involved in Docket: SUCR2005-10357

<b>Party Involved:</b>		<b>Role:</b>	Defendant
<b>Last Name:</b>	Bridgeman	<b>First Name:</b>	Kevin
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	MA
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Plaintiff
<b>Last Name:</b>	Commonwealth	<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

#### Attorneys Involved

3 Attorneys Involved for Docket: SUCR2005-10357

#### Attorney

**Involved:**

**Last Name:** Griffin  
**Address:** 15 Court Square  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:** 617-742-1663  
**Fascimile:** 617-723-2190

**Firm Name:**

**First Name:** Joseph M  
**Address:** Suite 240  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Bridgeman, Kevin (Defendant)

**Attorney Involved:**

**Last Name:** Belezos  
**Address:** 540 Gallivan Boulevard  
**City:** Dorchester Center  
**Zip Code:** 02124  
**Telephone:** 617-288-5900  
**Fascimile:** 617-288-5902

**Firm Name:**

**First Name:** Christopher P  
**Address:** Suite Four  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Bridgeman, Kevin (Defendant)

**Attorney Involved:**

**Last Name:** Garry  
**Address:** 1 Bulfinch Place  
**City:** Boston  
**Zip Code:** 02114  
**Telephone:** 617-619-4000  
**Fascimile:** 617-619-4210

**Firm Name:**

**First Name:** Stacie  
**Address:** 3rd floor  
**State:** MA  
**Zip Ext:** 2997  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

---

**Calendar Events**


---

8 Calendar Events for Docket: SUCR2005-10357

No.	Event Date:	Event Time:	Calendar Event:	SES:	Event Status:
1	06/07/2005	09:30	Arraignment	CM	Event held as scheduled
2	06/16/2005	09:30	Conference: Status Review	CM	Event not held--joint request
3	06/28/2005	09:30	Hearing: Misc Matters	CM	Event held as scheduled
4	07/12/2005	09:30	Conference: Pre-Trial	CM	Event held as scheduled
5	08/11/2005	09:30	Hearing: Non-eviden-Discovery	CM	Event held as scheduled
6	10/04/2005	09:30	Hearing: Plea Change	1	Event held as scheduled
7	12/02/2005	09:00	Conference: Final Pre-Trial	5	Event canceled not re-scheduled
8	12/13/2005	09:00	TRIAL: by jury	5	Event canceled not re-scheduled

---

## Full Docket Entries

---

93 Docket Entries for Docket: SUCR2005-10357

Entry Date:	Paper No:	Docket Entry:
06/02/2005	1	Indictment returned
06/02/2005	2	Motion by Commonwealth for arrest warrant to issue; filed & allowed ;
06/02/2005	2	Locke, J.
06/02/2005		Warrant on indictment issued
06/02/2005		Warrant was entered onto the Warrant Management System June 02, 2005
06/07/2005		Defendant brought into court.
06/07/2005		Warrant canceled on the Warrant Management System June 07, 2005
06/07/2005		Appointment of Counsel Christopher P Belezos, pursuant to Rule 53 for
06/07/2005		Arraignment only
06/07/2005		Appointment of Counsel Joseph M Griffin Jr, pursuant to Rule 53 Case
06/07/2005		in Chief (Nac #C3919739-5 sent on 6/8/2005)
06/07/2005		Deft arraigned before Court
06/07/2005		Deft waives reading of indictments
06/07/2005		RE Offense 1:Plea of not guilty
06/07/2005		RE Offense 2:Plea of not guilty
06/07/2005		RE Offense 3:Plea of not guilty
06/07/2005		RE Offense 4:Plea of not guilty
06/07/2005		RE Offense 5:Plea of not guilty
06/07/2005		RE Offense 6:Plea of not guilty
06/07/2005		Bail set: \$100,000.00 With Surety or \$10,000.00 Cash Without
06/07/2005		Prejudice. Bail Warning Read. Mittimus Issued.
06/07/2005		Deft notified of right to request drug exam
06/07/2005		Continued until June 16, 2005 for Status re: Bail and Setting of
06/07/2005		Tracking Order by agreement. Wilson, MAG - C. Bartoloni, ADA - C.
06/07/2005		Belezos, Attorney - ERD.
06/16/2005		Defendant brought into court. Continued to 6/28/05 for Setting of
06/16/2005		Tracking Order and Bail Hearing. Wong, Mag - C. Bartoloni for S.
06/16/2005		Garry, ADA - ERD
06/28/2005		Defendant brought into court. Parties not reporting.
06/28/2005		Continued to July 12, 2005 for hearing on PTC.
06/28/2005		Assigned to Track "A", see scheduling order
06/28/2005		Case Tracking scheduling order (Gary D Wilson, Magistrate) mailed
06/28/2005		June 28, 2005
06/28/2005		Continued to December 02, 2005 for hearing on Final Pre-Trial Hearing.
06/28/2005		Continued to December 13, 2005 for hearing on Presumptive Trial Date.
06/28/2005		Gary D Wilson, Magistrate - G. Brooks, ADA - ERD
07/12/2005		Defendant brought into court
07/12/2005	3	Pre-trial conference report filed



07/12/2005		Continued to 8/11/2005 for hearing on non-evidentiary motions &
07/12/2005		status re: discovery. Connie S Wong, Magistrate - M. Zanini for S.
07/12/2005		Garry, ADA - ERD - J. Griffin, Attorney
07/12/2005	4	Commonwealth files certificate of discovery compliance.
08/11/2005		Defendant not present. Continued until 10/4/2005 by agreement for pre
08/11/2005		trial hearing in the 1st criminal session. (Jail List) Wilson, MAG -
08/11/2005		S. Garry, ADA - ERD - J. Griffin, Attorney
10/04/2005		Defendant brought into court. Deft offers to plead guilty to so much
10/04/2005		of offense #001 as alleges: Possession with intent to Distribute
10/04/2005		Class B Cont. Substance, First Offense, per MGL Ch. 94C Sec 32A(a),
10/04/2005		so much of offense #003 as alleges: Unlawful Distribution of Class B
10/04/2005		Controlled Substance, First Offense, per MGL Chap 94C Sec 32A(a) and
10/04/2005		offenses #005 and #006 as charged.
10/04/2005		After hearing Court accepts deft's offer. Deft pleads guilty as
10/04/2005		enumerated above.
10/04/2005		RE Offense 1:Guilty plea
10/04/2005		RE Offense 3:Guilty plea
10/04/2005		RE Offense 5:Guilty plea
10/04/2005		RE Offense 6:Guilty plea
10/04/2005		Defendant warned per Chapter 278, Sec 29D of alien status
10/04/2005	5	Waiver of defendants' rights, filed. Commonwealth moves for
10/04/2005	5	sentencing.
10/04/2005		Defendant sentenced as to offense #001 - M.C.I. Cedar Junction - Max:
10/04/2005		Three (3) years - Min: Two (2) years. Mittimus issued.
10/04/2005		Defendant sentenced as to offenses #003, #005 and #006 - Three (3)
10/04/2005		years probation from and after release as to offense #001.
10/04/2005		Defendant is subject to the following special conditions: drug
10/04/2005		treatment and testing as deemed necessary by Probation Dept.
10/04/2005		Victim-witness fee assessed: \$90.00
10/04/2005		Drug fee assessed: \$150.00
10/04/2005		Defendant warned per Chapter 22E Sec. 3 of DNA
10/04/2005		Defendant warned of potential loss of license.
10/04/2005		Abstract sent to RMV
10/04/2005		Probation supervision fee or community service alternative.
10/04/2005		Notified of right of appeal under Rule 64
10/04/2005		Sentence credit given as per 279:33A: One Hundred Seventy Nine (179)
10/04/2005		Days.
10/04/2005		RE Offense 2:Dismissed per oral motion of the Commonwealth; deft
10/04/2005		assenting thereto.
10/04/2005		RE Offense 4:Dismissed per oral motion of the Commonwealth; deft
10/04/2005		assenting thereto.
10/04/2005		Commonwealth's oral motion to dismiss second and subsequent portion
10/04/2005		

of offenses #001 and #003 is made and allowed. Deft assenting thereto. Ball, J - S. Garry, ADA - V. Carreira, Court Reporter - J. Griffin, Attorney

10/04/2005  
10/04/2005  
11/16/2005 Drug fee paid as assessed in the amount of \$150.00.  
11/16/2005 Victim-witness fee paid as assessed in the amount of \$90.00.  
08/06/2007 Certified copy of record sent to Middlesex County Superior Court per request of Chief Probation Officer Joyce Coleman re: probation transfer  
08/06/2007  
11/15/2012 6 Deft files Motion to be declared indigent  
11/15/2012 7 Deft files Motion to be declared indigent (original filed in SUCR2007-10959)  
11/15/2012 7  
03/08/2013 Deft files Motion to be Declared Indigent ( P#17 filed and allowed in case no. 07-10959; parties notified on same)  
03/08/2013

---

## Charges

---

6 Charges for Docket: SUCR2005-10357

No.	Charge Description:	Indictment:	Status:
1	DRUG, POSSESS TO DISTRIB CLASS B, SUBSQ. c94C s32A(b)(2)		Guilty plea
2	DRUG VIOLATION NEAR SCHOOL/PARK c94C s32J		Dismissed
3	DRUG, DISTRIBUTE CLASS B, SUBSQ. OFF. c94C s32A(b)(2)		Guilty plea
4	DRUG VIOLATION NEAR SCHOOL/PARK c94C s32J		Dismissed
5	A&B ON POLICE OFFICER c265 s13D		Guilty plea
6	RESIST ARREST c268 s32B		Guilty plea

---

© Copyright, Massachusetts Administrative Office of the Trial Court, 2000 - 2001.



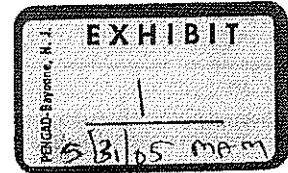
Mitt Romney  
Governor

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Paul J. Cote Jr., Commissioner

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622



DATE RECEIVED: 04/14/2005

DATE ANALYZED: 05/05/2005

NO. 744162

I hereby certify that the substance  
Contained in 22 plastic bags

MARKED: 744162

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

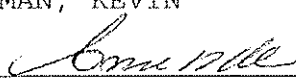
The substance was found to contain:

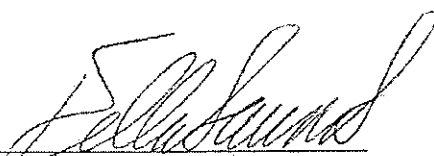
Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

The identification of the contents of the 22 plastic bags  
was determined by analysis of a representative sample of 5 plastic bags.  
The net weight of the 22 plastic bags was derived from the  
average weight of the sampled plastic bags.

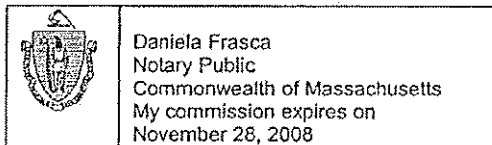
NET WEIGHT: 2.23 grams

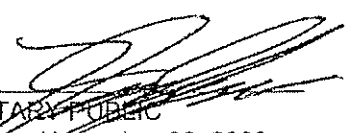
DEFENDANT: BRIDGEMAN, KEVIN

  
ASSISTANT ANALYSTS Annie Dookhan

  
Della Saunders

On this date May 10, 2005 before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



  
Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



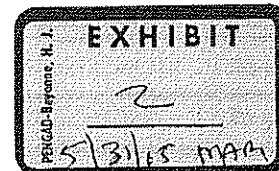
Mitt Romney  
Governor

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Paul J. Cote Jr., Commissioner

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622



DATE RECEIVED: 04/14/2005  
DATE ANALYZED: 05/05/2005

NO. 744161

I hereby certify that the substance  
Contained in 2 plastic bags

MARKED: 744161

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

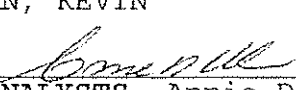
The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

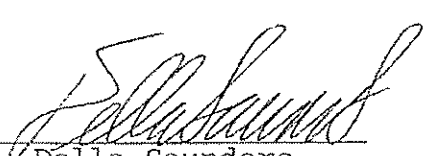
2 similar items were received and 1 was randomly selected  
and analyzed.

NET WEIGHT: 0.10 grams (analyzed item only)

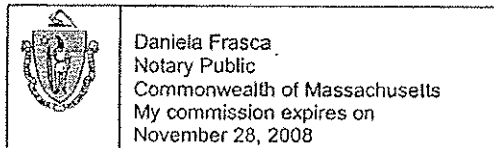
DEFENDANT: BRIDGEMAN, KEVIN

  
ASSISTANT ANALYSTS

Annie Dookhan

  
Della Saunders

On this date May 10, 2005 before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



  
Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

INDICTMENT

*Commonwealth of Massachusetts*

---

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, did unlawfully, knowingly and intentionally possess with intent to distribute a certain controlled  
substance, to wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.

INDICTMENT

Possession of Class B Controlled Substance with Intent to Distribute

C. 94C, §32

Second Offense

- 2 -


THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on December 8, 1999, prior to the commission of the offense heretofore described in this indictment was convicted in the Boston Municipal Court of the offense of Possession of a Class B controlled substance with intent to distribute, Docket # 9901CR5088.

And on December 6, 2000 was convicted in Boston Municipal Court of the offense of Distribution of a Class B controlled substance, Docket # 0001CR5054, and this is therefore a second and subsequent such offense.

A TRUE BILL

  
Assistant District Attorney

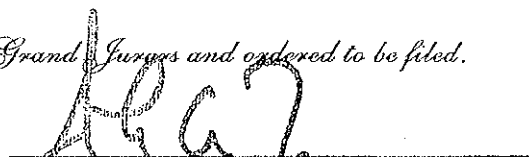
  
Foreman of the Grand Jury

Superior Court Department - Criminal Business

May, Sitting, 2005

JUN 02 2005

Returned into said Superior Court by the Grand Jurors and ordered to be filed.

  
Clerk Of Court

*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, within one thousand feet of the real property comprising the University High School, a public  
secondary school of the City of Boston, did unlawfully, knowingly, and intentionally possess with intent to distribute a  
certain controlled substance, to wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.

A TRUE BILL

*Stacie L. Garry*  
Assistant District Attorney

*John B. Smith*  
Foreman of the Grand Jury

*Superior Court Department - Criminal Business**May, Sitting, 2005***JUN 02 2005***Returned into said Superior Court by the Grand Jurors and ordered to be filed.*

*A. A. 2*  
Clerk Of Court

INDICTMENT

*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five..

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, did unlawfully, knowingly and intentionally distribute to Officer Walsh a certain controlled substance,  
to wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.



INDICTMENT

Unlawful Distribution of Class B Controlled Substance  
C. 94C, §32A(d)  
Second Offense

- 2 -

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on December 8, 1999, prior to the commission of the offense heretofore described in this indictment was convicted in the Boston Municipal Court of the offense of Possession of a Class B controlled substance with intent to distribute, Docket # 9901CR5088.

And on December 6, 2000 was convicted in Boston Municipal Court of the offense of Distribution of a Class B controlled substance, Docket # 0001CR5054, and this is therefore a second and subsequent such offense.

A TRUE BILL

  
Assistant District Attorney

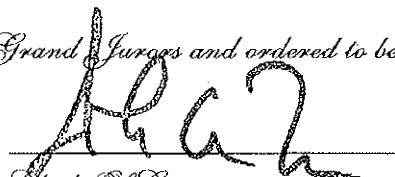
  
Foreman of the Grand Jury

Superior Court Department - Criminal Business

May, Sitting, 2005

JUN 02 2005

Returned into said Superior Court by the Grand Jurors and ordered to be filed.

  
Clerk Of Court

INDICTMENT

*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, within one thousand feet of the real property comprising the University High School, a a secondary  
school, did unlawfully, knowingly, and intentionally distribute a certain controlled substance, to wit: cocaine, a Class B  
controlled substance under the provisions of G.L. c. 94C, § 31.

A TRUE BILL

*Stacie Gamy*  
Assistant District Attorney

*[Signature]*  
Foreman of the Grand Jury

*Superior Court Department - Criminal Business*

*May, Sitting, 2005*

**JUN 02 2005**

*Returned into said Superior Court by the Grand Jurors and ordered to be filed.*

*[Signature]*  
Clerk Of Court

## INDICTMENT

*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, did assault and beat P.O. McHale, who was a police officer of Boston, and who also was engaged in the  
lawful discharge of his duties as such officer, as said KEVIN BRIDGEMAN well knew.

A TRUE BILL

*Stacie L. Gandy*  
Assistant District Attorney

*[Signature]*  
Foreman of the Grand Jury

Superior Court Department - Criminal Business

May, Sitting, 2005

JUN 02 2005

Returned into said Superior Court by the Grand Jurors and ordered to be filed.

*[Signature]*  
Clerk Of Court

## INDICTMENT

Resisting Arrest  
C. 268, §32B*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of May in the  
year of our Lord two thousand and five.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on April 8, 2005, did knowingly prevent or attempt to prevent a police officer, acting under official authority from  
effecting an arrest or the actor, or another by use or threat of use of physical force of violence against the officer or  
another, or through use of any other means which creates a substantial risk of causing bodily injury to such police officer  
or another, in violation of G.L. c. 268 §32B.

A TRUE BILL

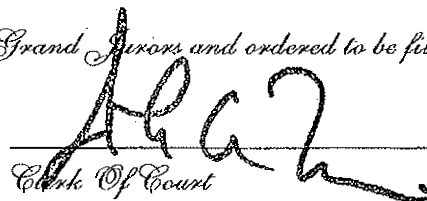
  
Assistant District Attorney  
Foreman of the Grand Jury

Superior Court Department - Criminal Business

May, Sitting, 2005

JUN 02 2005

Returned into said Superior Court by the Grand Jurors and ordered to be filed.

  
Clerk Of Court

COMMONWEALTH OF MASSACHUSETTS

Superior Court Department  
Indictment No(s) \_\_\_\_\_

05-10357

Commonwealth

*Kevin Bridgeman*

**PRETRIAL CONFERENCE REPORT**

A pretrial conference was held on 7-12-05 between the Assistant District Attorney and Counsel for the Defendant with the following results:

**A. Procedure:**

1. ☒ The Defendant is presently in custody at Nashua St.  
☐ The Defendant is *not* presently in custody.
2. A writ of habeas corpus to \_\_\_\_\_ will be necessary to bring the Defendant into court.
3. The case \_\_\_\_\_ is likely \_\_\_\_\_ is not likely to be disposed of without a trial. (Not binding)
3. This case will be a ☒ jury trial \_\_\_\_\_ jury waived. (Not binding)
4. The proposed trial date is 12/13/05
5. The probable length of the trial will be 2 days.
6. A N/A language interpreter will be necessary.

**B. Mandatory Discovery for the Defendant pursuant to Rule 14(a)(1)(A)(i)-(ix):**

1. The Commonwealth *has disclosed, or has permitted* the defense to discover, inspect and copy, the following items and information which are relevant to the case and are in the possession, custody or control of the prosecutor, persons under the prosecutor's direction and control, or persons who have participated in investigating or evaluating the case and either regularly report to the prosecutor's office or have done so in the case:

☒ written or recorded statements, and the substance of any oral statements, made by the defendant or co-defendant;

☒ ~~NOT RELEVANT~~ grand jury minutes, and the written or recorded statements of person(s) who testified before the grand jury;

☒ any facts of an exculpatory nature;

☒ the names, addresses, and dates of birth of the Commonwealth's prospective witnesses other than law enforcement witnesses;

☒ the names and business addresses of prospective law enforcement witnesses;

☒ the identity, current curriculum vitae and list of publications of each intended expert witness, and all reports prepared by the expert witness(es) that pertain to the case; *I will call police officers and drug experts*

☒ all material and relevant police reports, photographs, tangible objects, all intended exhibits, reports of physical examinations of any person or of scientific tests or experiments, and statements of persons the Commonwealth intends to call as witnesses;

☒ a summary of identification procedures, and all statements made in the presence of or by an identifying witness that are relevant to the issue of identity or to the fairness or accuracy of the identification procedures;

☒ disclosure of all promises, rewards or inducements made to witnesses the Commonwealth intends to present at trial;

☒ a statement disclosing whether wire or oral communications of the defendant have been intercepted; whether wire or oral communications relevant or material to the case have been intercepted; and whether any percipient witness is a government informant whose identity and/or location is claimed to be privileged from disclosure and service of relevant documents pursuant to G.L. c. 272, § 99(O); and

Other: \_\_\_\_\_

2. \_\_\_\_\_ Notice of the existence, location, and identity of any persons possessing items described under Rule 14(a)(1)(A)(i)-(ix), not within the possession, custody or control of the prosecution, persons under its discretion and control, or persons who have participated in investigating or evaluating the case and either regularly report to the prosecutor's office or have done so in the case (Rule 14(a)(1)(D));

3. The Commonwealth agrees to provide the Defendant on or about \_\_\_\_\_ date with the following discovery materials which have not yet been provided:

C. Reciprocal discovery for the Prosecution pursuant to Rule 14(a)(1)(B).

1. The Defendant shall disclose to the prosecution and permit the Commonwealth to discover, inspect, and copy by 3 WKS b4 trial (date) any material and relevant evidence discoverable under (a)(1)(A)(vi), (vii) and (ix) which the defendant intends to use at trial, including the names, addresses, dates of birth, and statements of those persons whom the defendant intends to use as witnesses at trial;

2. \_\_\_\_\_ Other: \_\_\_\_\_

D. Notice of Alibi pursuant to Rule 14(b)(1).

1. The Defendant agrees to serve upon the prosecutor a written notice, signed by the defendant, of his or her intention to offer a defense of alibi on or before 3 WKS b4 trial (Date). The notice by the defendant shall state the specific place or places at which the defendant claims to have been at the time of the alleged offense and the names and addresses of the witnesses upon whom the defense intends to rely to establish the alibi.

2. Within seven days of the service of the defendant's notice of alibi, the Commonwealth agrees to serve upon the defendant a written notice stating the names and addresses of witnesses upon whom the prosecutor intends to rely to establish the defendant's presence at the scene of the alleged offense and any other witnesses to be relied on to rebut the testimony of any of the defendant's alibi witnesses.

E. Notice of Defenses pursuant to Rule 14(b)(2) & Rule 14(b)(3).

1. The Defendant agrees to notify the Commonwealth on or before 3 wks. b/f trial of his/her intention to:

a. Rely upon the *defense of lack of criminal responsibility* because of mental disease or defect at the time of the alleged crime by providing the Commonwealth with a written notice including the names and addresses of expert witnesses whom the defendant expects to call, and whether those expert witnesses intend to rely in whole or in part on statements of the defendant as to his or her mental condition at the time of the alleged crime or criminal responsibility for the alleged crime.

b. Rely upon a *defense based upon a license, claim of authority or ownership, or exemption*, by notifying the prosecutor in writing of such intention.

F. Other agreements reached by the parties:

None

G. Matters upon which the parties could not agree and which are to be subject of pretrial motions include:

H. Stipulations of fact:

None

M. Z...

Assistant District Attorney

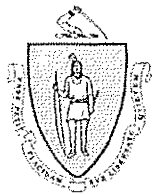
Joseph M. ...

Attorney for the Defendant

7/12/05

Date

Defendant (if required by Mass. R. Crim.P. 11(a)(2)(A))



*The Commonwealth of Massachusetts*

DISTRICT ATTORNEY OF SUFFOLK COUNTY  
DANIEL F. CONLEY

Juvenile Unit  
One Bulfinch Place  
Boston, MA 02114-2997

Telephone: (617) 619-4230  
Fax: (617) 619-4222

Joseph M. Griffin, Jr.  
101 Tremont Street, Suite 800  
Boston, MA 02108

12 July 2005

Dear Attorney Griffin,

Concerning the matter of Commonwealth v. Kevin Bridgeman, Docket SUCR2005-10357, I have filed the Commonwealth's Certificate of Discovery Compliance with the Clerk and have enclosed a copy of it for your records.

Sincerely,

A handwritten signature in dark ink, appearing to read "M. Zanini", written over a horizontal line.

Mark D. Zanini  
Assistant District Attorney



**COMMONWEALTH OF MASSACHUSETTS**

**SUFFOLK, ss.**

**SUPERIOR COURT  
DOCKET No. 2003-10820**

**COMMONWEALTH**

**v.**

**KEVIN BRIDGEMAN**

**COMMONWEALTH'S CERTIFICATE OF DISCOVERY COMPLIANCE**

Now comes the Commonwealth in the above-captioned case and hereby states  
that it has provided the following material to defense counsel:

- Grand Jury Minutes of Officer Walsh and Sgt. Fitzpatrick, 5/31/05, 22 pages
- Analysis from Massachusetts State Laboratory No. 744162, 5/5/05, 1 page
- Analysis from Massachusetts State Laboratory No. 744161, 5/5/05, 1 page
- Xeroxed copies of twenty dollar bills, 4/8/05, 1 page
- Diagram of measurement to University High School, 1 page
- Boston Police Department Seized Money Form, 1 page
- Boston Police Incident Report, 4/8/05, 2 pages
- Application for Complaint, 4/8/05, 3 pages
- Boston Police Department Arrest Booking Form, 4/8/05, 1 page

Respectfully Submitted  
For the Commonwealth

DANIEL F. CONLEY  
DISTRICT ATTORNEY

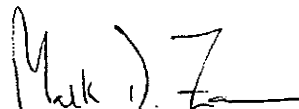
By: 

Mark D. Zanini  
Assistant District Attorney  
BBO # 557673  
One Bulfinch Place  
Boston, MA 02114

**CERTIFICATE OF SERVICE**

I, Mark D. Zanini, hereby state under the pains and penalties of perjury that I caused one copy of this Certificate of Discovery Compliance to be delivered by U.S. Mail, postage prepaid, to Joseph M. Griffin, counsel for the defendant, on this 12th day of July, 2005 at the address below:

101 Tremont Street, Suite 800  
Boston, MA 02108

A handwritten signature in black ink, appearing to read "Mark D. Zanini", written over a horizontal line.

Mark D. Zanini  
Assistant District Attorney



*The Commonwealth of Massachusetts*

DISTRICT ATTORNEY OF SUFFOLK COUNTY  
DANIEL F. CONLEY

Juvenile Unit  
One Bulfinch Place  
Boston, MA 02114-2997

Telephone: (617) 619-4230  
Fax: (617) 619-4222

Joseph M. Griffin, Jr.  
101 Tremont Street, Suite 800  
Boston, MA 02108

12 July 2005

Dear Attorney Griffin,

Concerning the matter of Commonwealth v. Kevin Bridgeman, Docket SUCR2005-10357, I have enclosed the following for purposes of discovery:

1. Grand Jury Minutes of Officer Greg T. Walsh and Sergeant James Fitzpatrick  
Date: May 31, 2005 Pages: 22
2. Analysis from Massachusetts State Laboratory No. 744162  
Date: May 5, 2005 Pages: 1
3. Analysis from Massachusetts State Laboratory No. 744161  
Date: May 5, 2005 Pages: 1
4. Xeroxed copies of twenty dollar bills  
Date: April 8, 2005 Pages: 1
5. Diagram of measurement to University High School  
Pages: 1
6. Boston Police Department Seized Money Form  
Pages: 1

Please feel free to contact me with any questions or concerns. I may be reached at (617) 619-4229.

Sincerely,

A handwritten signature in black ink, appearing to read "Mark D. Zanini".

Mark D. Zanini  
Assistant District Attorney

Number of Pages: 22

## COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, SS.

SUPERIOR COURT

SUFFOLK COUNTY

GRAND JURY

RE: KEVIN BRIDGEMAN

Presented By: STACIE GARRY, ESQ.  
Assistant District Attorney

Also Present: LINDA POULOS, ESQ.  
Assistant District Attorney

Tuesday, May 31, 2005  
Boston, Massachusetts

MYRIAM A. MARACAS, PROFESSIONAL COURT  
REPORTER

SOUND DEPOSITION SERVICES  
(888) 297-6863

## I N D E X

Testimony of: Direct Cross

Greg T. Walsh  
(by Ms. Garry) 3

James Fitzpatrick  
(by Ms. Garry) 7

## E X H I B I T S

No.	Description	Page
1	Analysis sheet.	13
2	Analysis sheet.	14
3	Xeroxed copies of bills.	16
4	Diagram.	18

SOUND DEPOSITION SERVICES  
(888) 297-6863

MS. GARRY: Good morning, ladies  
and gentlemen. My name is Stacie Garry. I  
would like to begin an investigation into  
the facts and circumstances surrounding an  
alleged drug transaction that occurred on  
April 8th of 2005 in the City of Boston.  
I'll be calling Officer Walsh.

GREG T. WALSH, SWORN

Q. (By Ms. Garry) Good morning, Officer Walsh.  
Can you state your name, spelling your last  
name for the grand jurors.

A. Good morning. Greg T. Walsh, W A L S H.

Q. And, Officer Walsh, how are you employed?

A. As a Boston police officer.

Q. Are you in a certain unit with the Boston  
Police?

A. Yes.

Q. In what unit is that?

A. Drug Control Unit.

Q. And how long have you been with the Drug  
Control Unit?

A. About five years.

Q. Officer Walsh, calling your attention  
specifically to April 8th, 2005, were you

SOUND DEPOSITION SERVICES  
(888) 297-6863

working on that day?

A. Yes, I was.

Q. And what shift were you working that day?

A. Early morning shift.

Q. Calling your attention specifically to,  
again, that day, April 8th at 6:50 in the  
morning, what were you doing at that time?

A. We were down the theater district, Chinatown  
area. I was acting in an undercover  
capacity to try to purchase drugs.

Q. And what did you do next when you were in  
the Chinatown area?

A. Well, I was actually going to the border of  
the Chinatown area. Almost across the  
street from the Wang Center, Dominic's  
Restaurant. I was standing on the side of  
Dominic's Restaurant, where I actually met  
up with a male dressed in females' clothing.  
After a conversation with her, him, I was  
approached by an individual who we later  
arrested. His name was Kevin Bridgeman.

Q. Officer, can you describe Mr. Bridgeman to  
the grand jurors?

A. Yes. Black male. I believe he's in his

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 30s. 6'1", maybe 210 to 215 pounds.  
 2 Q. And as you approached Mr. Bridgeman, what  
 3 did you notice about him?  
 4 A. That he was selling drugs. He sold drugs to  
 5 the transvestite who I was standing with.  
 6 Q. And after he sold drugs to that person, what  
 7 did you do next?  
 8 A. I was supplied with \$40 of Boston Police buy  
 9 money, which was given to me by Sergeant  
 10 Fitzpatrick to purchase any drugs that I  
 11 might have the opportunity to purchase. I  
 12 then informed Mr. Bridgeman that I would  
 13 like two, referring to two rocks of crack  
 14 cocaine. At the point when I asked him the  
 15 two, he had a large quantity of crack  
 16 cocaine in his hands. I asked him for two.  
 17 He handed me two. And in exchange, I gave  
 18 Mr. Bridgeman \$40 BPD, Boston Police  
 19 Department buy money.  
 20 Q. Officer Walsh, can you explain to the grand  
 21 jurors how buy money works?  
 22 A. Yes. With our unit, Sergeant Fitzpatrick is  
 23 my boss, would take money out of like a --  
 24 we have a bank, like a reserve, and we'll

SOUND DEPOSITION SERVICES  
 (888) 297-6863

1 take the money. I'm going to be sent out to  
 2 photocopy the money prior to the sale and  
 3 give it to me; and when we arrest the  
 4 alleged dealer later on, most of the time,  
 5 the dealer would have that money on him if  
 6 they don't hand it off.  
 7 Q. Officer Walsh, after you asked for two 20s,  
 8 what happened next?  
 9 A. Mr. Bridgeman handed me two off-white pieces  
 10 of crack cocaine.  
 11 Q. And then what did you do next?  
 12 A. I took the drugs. I handed him the \$40  
 13 Boston Police buy money and left the area.  
 14 Q. Officer Walsh, is there a process of the  
 15 Boston Police Department when drugs are  
 16 recovered?  
 17 A. Yes.  
 18 Q. And what is that?  
 19 A. There are a couple of forms that we fill  
 20 out. We stick the drugs in an envelope,  
 21 seal the envelope, and the east district has  
 22 a safe, drop safe, that we deposit the  
 23 envelope in. Drugs are then sent to the  
 24 State Drug Lab for analysis.

SOUND DEPOSITION SERVICES  
 (888) 297-6863

1 Q. What did you do with the drugs that you  
 2 purchased that evening, Officer?  
 3 A. I handed them to Sergeant Fitzpatrick.  
 4 Q. For what purpose?  
 5 A. For them to be further analyzed in the State  
 6 Drug Lab.  
 7 Q. Officer Walsh, did you have any further role  
 8 in what happened that evening?  
 9 A. No. I left the area, and members of my unit  
 10 moved in to arrest Mr. Bridgeman.  
 11 MS. GARRY: Do the grand jurors  
 12 have any questions for this witness?  
 13 (No response)  
 14 MS. GARRY: Seeing that there are  
 15 no questions, thank you, Officer Walsh.  
 16 THE WITNESS: Thank you.  
 17 JAMES FITZPATRICK, SWORN  
 18 Q. (By Ms. Garry) Sergeant Fitzpatrick, can  
 19 you state your name, spelling your last name  
 20 for the record.  
 21 A. My name is Boston Police Sergeant James  
 22 Fitzpatrick, F I T Z P A T R I C K.  
 23 Q. And in what capacity do you work at the  
 24 Boston Police?

SOUND DEPOSITION SERVICES  
 (888) 297-6863

1 A. I'm supervisor for the citywide Drug Control  
 2 Unit day squad.  
 3 Q. And calling your attention specifically,  
 4 Sergeant Fitzpatrick, to April 8th of 2005,  
 5 were you working that morning?  
 6 A. Yes.  
 7 Q. Where were you working that morning?  
 8 A. We were down in the theater district,  
 9 Chinatown area.  
 10 Q. And what were you doing in that area?  
 11 A. Conducting a buy bust drug investigation in  
 12 conjunction with the ongoing operation known  
 13 as Hydra.  
 14 Q. And can you explain the buy bust operation  
 15 to the grand jurors?  
 16 A. Yes. A buy bust drug investigation is when  
 17 an undercover officer is deployed to a  
 18 certain area that we have several complaints  
 19 about, or we have received information on.  
 20 They would go down there with the specific  
 21 purpose to purchase drugs from a dealer, at  
 22 which time once the transaction is  
 23 completed, we move in and, in effect, arrest  
 24 the dealer.

SOUND DEPOSITION SERVICES  
 (888) 297-6863

1 Q. Calling your attention, again, to April 8th,  
2 Sergeant, around 6:15 that morning, were you  
3 involved in an arrest of a dealer that  
4 morning?  
5 A. Yes.  
6 Q. And in what capacity were you involved?  
7 A. I was assisting another officer with placing  
8 the individual into custody.  
9 Q. And what happened before you placed that  
10 individual into custody?  
11 A. I observed -- I engaged this individual in  
12 an attempt to assist Officer McHale, who's  
13 assigned to my squad, placed him into  
14 custody, at which time I observed him  
15 struggling with Officer McHale. I attempted  
16 to come over to the individual. I then  
17 explained to him once again after Officer  
18 McHale had done that, that we were Boston  
19 Police officers. We were in plainclothes.  
20 "You're under arrest," at which time he  
21 struggled with myself and Officer McHale;  
22 and I observed him during this struggle  
23 strike Officer McHale in the face. He then  
24 was able to get out of an outer piece of

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 clothing he had on. He fled on foot down  
2 towards Stuart Street by South Charles  
3 Street, at which time I observed Officer  
4 McHale once again catch up to him. They  
5 struggled, fell to the ground, at which time  
6 Officer McHale was struck once again by this  
7 individual. We requested more assistance,  
8 several -- another officer from my unit,  
9 Detective Guy, as well as two EMTs came to  
10 our aid and assisted us with that and placed  
11 him into custody.  
12 Q. Once you placed him into custody, what  
13 happened next?  
14 A. At that point, we then recovered 22  
15 additional items of small, tan rock-like  
16 substances which we believed at that time to  
17 be crack cocaine.  
18 Q. And you said additional items of crack  
19 cocaine. Were you told by an officer that  
20 something had happened?  
21 A. Yes. Prior to all of that, I received  
22 information -- prior to even Officer McHale  
23 approaching this individual, I received  
24 information from Officer Walsh that he

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 completed a successful drug transaction with  
2 the accused.  
3 Q. And it was the same person that Officer  
4 Walsh completed a transaction with that was  
5 struggling with Officer McHale?  
6 A. Yes.  
7 Q. When you say, "struggling with Officer  
8 McHale," can you explain to the grand jurors  
9 what you mean?  
10 A. It was a physical confrontation. Officer  
11 McHale was attempting to have the individual  
12 place -- it was a physical altercation which  
13 Officer McHale was trying to have the  
14 individual place his arms behind his back.  
15 The individual refused to comply with any of  
16 his commands. They began to struggle  
17 physically with one another. And at that  
18 point, I was trying to come down and help  
19 Officer McHale place him into custody.  
20 Q. Sergeant Fitzpatrick, you stated that  
21 Officer McHale was struck by this  
22 individual. How was he struck?  
23 A. He was struck with a hand. I believe there  
24 was a closed fist to his face, his face

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 area.  
2 Q. At some point, did you get the identity of  
3 the person that was struggling with the  
4 officer?  
5 A. Yes.  
6 Q. And who was that?  
7 A. Kevin Bridgeman.  
8 Q. And can you just describe Mr. Bridgeman to  
9 the grand jurors?  
10 A. Kevin Bridgeman is a black male, over six  
11 feet tall, dark complexion, a muscular  
12 build.  
13 Q. And you stated earlier that you recovered  
14 items from Mr. Bridgeman?  
15 A. Yes.  
16 Q. What did you recover?  
17 A. 22 small rock-like substances which we  
18 believed to be crack cocaine.  
19 Q. And, Officer, what do you do with drugs that  
20 you recover from defendants?  
21 A. They are placed into evidence, logged in,  
22 and then they are sent to the State Drug  
23 Analysis Laboratory.  
24 Q. Officer, I'm going to show you an exhibit

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 that will be marked as Grand Jury Exhibit  
2 No. 1.

3 (Document marked as Exhibit 1 for  
4 identification)

5 Q. Do you recognize that?

6 A. Yes.

7 Q. And what do you recognize it to be?

8 A. This is an analysis sheet from the  
9 Massachusetts State Laboratory.

10 Q. And what's the result of that analysis?

11 A. It's marked No. 744162, and it states that  
12 22 plastic bags were submitted by Officer  
13 Donnelly, the Boston Police Department.  
14 The substance was found to contain a cocaine  
15 derivative of coca leaves, as defined in  
16 Chapter 94C, Controlled Substance Act,  
17 Section 31, Class B.

18 Q. And, Officer, is that the analysis of the 22  
19 plastic bags that you recovered?

20 A. It goes on to further state -- yes, it is,  
21 but it goes on to further state that the  
22 identification of the contents of the 22  
23 plastic bags was determined by analysis of a  
24 representative sample of the five plastic

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 bags. The net weight of the 22 plastic bags  
2 was derived from the average weight of the  
3 sample plastic bags.

4 Q. And, Officer, were drugs recovered from  
5 anybody else other than the Defendant that  
6 evening?

7 A. Yes.

8 Q. And who that morning -- I apologize. Who  
9 were they recovered from?

10 A. Officer Walsh.

11 Q. And I'm going to show you what's going to be  
12 marked Grand Jury Exhibit No. 2.

13 (Document marked as Exhibit 2 for  
14 identification)

15 Q. Do you recognize that?

16 A. Yes, I do.

17 Q. And is that the -- what do you recognize  
18 that to be?

19 A. This is an analysis sheet from the Mass.  
20 State Laboratory.

21 Q. And is that analysis of the bags that were  
22 recovered from Officer Walsh that morning?

23 A. Yes.

24 Q. And, Officer, you stated earlier that you

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 gave Officer Walsh buy money?

2 A. Yes.

3 Q. Going back to Mr. Bridgeman, was something  
4 recovered, anything else recovered from Mr.  
5 Bridgeman?

6 A. Yes.

7 Q. And what was that?

8 A. The two \$20 that I had Xeroxed prior to  
9 Officer Walsh being deployed of the BPD buy  
10 money.

11 Q. Officer, did you do something with that  
12 money after it was recovered?

13 A. Yes.

14 Q. And what is that?

15 A. I checked the serial numbers on the bills  
16 that were recovered from the persons being  
17 arrested with the Xeroxed copies that I  
18 have.

19 Q. And when do you make the Xerox copies?

20 A. I make the Xerox copies prior to us going  
21 out onto the investigation.

22 Q. And, Officer, I'm going to show you what is  
23 going to be marked Grand Jury Exhibit No. 3.  
24

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 (Document marked as Exhibit 3 for  
2 identification)

3 Q. Do you recognize that?

4 A. Yes.

5 Q. And what do you recognize that to be?

6 A. These are Xeroxed copies of the bills that I  
7 had copied that morning before Officer Walsh  
8 was deployed in the area.

9 Q. The bills that were recovered from Mr.  
10 Bridgeman on April 8th, do those match that  
11 photocopy?

12 A. Yes.

13 Q. How do you know that's the same -- how do  
14 you match that photocopy to Mr. Bridgeman's  
15 money recovered from Mr. Bridgeman?

16 A. I'll observe the bills that are recovered  
17 from Mr. Bridgeman and I will then know  
18 certainly the denomination of the bills, as  
19 well as the serial numbers, and that's how  
20 they match up.

21 Q. And, Sergeant Fitzpatrick, going back to  
22 where Mr. Bridgeman was arrested or where  
23 you attempted to originally arrest Mr.  
24 Bridgeman, where was that?

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 A. We attempted to arrest him in front of 255  
2 Tremont Street.  
3 Q. And is there anything about 255 Tremont  
4 Street that would matter to the Boston  
5 Police Department?  
6 A. Yes.  
7 Q. And what is that?  
8 A. It's within 1,000 feet of a school zone.  
9 Q. And, Officer, what school is that within  
10 1,000 feet of?  
11 A. The University High School.  
12 Q. And when you make an arrest that you believe  
13 to be within 1,000 feet of a school zone,  
14 how do you determine whether it is that  
15 distance or not?  
16 A. It is measured off with a point where the  
17 arrest takes place. Actually, where the  
18 deal occurred. I'm sorry. Where the deal  
19 occurred. It's measured from there to the  
20 front door of the school of the property.  
21 Q. And is there a printout of that measurement  
22 done?  
23 A. Yes.  
24 Q. Officer, I'm going to show you what's going

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 to be marked Grand Jury Exhibit No. 4.  
2 (Document marked as Exhibit 4 for  
3 identification)  
4 Q. Do you recognize that?  
5 A. Yes, I do.  
6 Q. What do you recognize that to be?  
7 A. This is the diagram of the measurement that  
8 was done by Detective Lynch per my request.  
9 Detective Lynch is assigned to District A1,  
10 Drug Control Unit.  
11 Q. What does that document show?  
12 A. It shows that the incident involving Officer  
13 Walsh and Mr. Bridgeman occurred within 899  
14 feet, four inches, of the University High  
15 School.  
16 Q. Do you know the address of the University  
17 High School?  
18 A. Yes. No. 178 Tremont Street.  
19 Q. Thank you.  
20 MS. GARRY: Does the Grand Jury  
21 have any questions for the Sergeant?  
22 (No response)  
23 Q. Seeing none, thank you, Sergeant  
24 Fitzpatrick. Thank you very much.

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 MS. GARRY: Based on the  
2 testimony you've heard and the evidence that  
3 you've received during the course of the  
4 investigation, I would ask that you consider  
5 the following charges against Kevin  
6 Bridgeman: Resisting arrest, assault and  
7 battery on a police officer, distribution of  
8 a Class B in a school zone, and possession  
9 with intent to distribute Class B in a  
10 school zone.  
11 (Pause)  
12 GREG T. WALSH, RESUMED  
13 Q. (By Ms. Garry) Good morning, again, Officer  
14 Walsh. I'm just going to remind you that  
15 you are under oath in front of these grand  
16 jurors. I'm informed that the Grand Jury  
17 has returned true bills against Kevin  
18 Bridgeman on distribution of Class B in a  
19 school zone, distribution, possession with  
20 intent to distribute Class B, possession  
21 with intent to distribute Class B in a  
22 school zone, assault and battery on a police  
23 officer, and resisting arrest. Do you have  
24 any further information on Kevin Bridgeman

SOUND DEPOSITION SERVICES  
(888) 297-6863

1 related to a conviction for a similar  
2 offense?  
3 A. Yes.  
4 Q. Officer Walsh, was Mr. Bridgeman convicted  
5 on October 5th of 2000 in the -- December  
6 6th of 2000 in the Boston Municipal Court of  
7 distribution with a Class B substance?  
8 A. Yes, he was.  
9 Q. And, Officer Walsh, was Mr. Bridgeman  
10 convicted on December 8th of 19 -- I  
11 apologize. Going back to the last one. Did  
12 Mr. Bridgeman receive a 2 1/2-year  
13 commitment on December 6th of 2000?  
14 A. Yes, I believe he did.  
15 Q. And, Officer Walsh, on December 8th of 1999,  
16 was Mr. Bridgeman convicted of possession to  
17 distribute Class B out of the Boston  
18 Municipal Court?  
19 A. Yes, I believe he was.  
20 Q. And as a result of that conviction, did he  
21 serve a one-year commitment in the House of  
22 Corrections?  
23 A. I believe so.  
24 Q. Thank you, Officer Walsh. And the docket

SOUND DEPOSITION SERVICES  
(888) 297-6863



1 number on the conviction of possession to  
 2 distribute Class B of December 8th, 1999, is  
 3 Docket 9901CR5088C; and on the December 6th,  
 4 2000, case out of the Boston Municipal Court  
 5 is Docket 0001CR5045A. Thank you, Officer.

6 THE WITNESS: Thank you.

7 MS. GARRY: Based on the testimony  
 8 you've heard and the evidence you've  
 9 received during the course of the further  
 10 course of the investigation, I would ask you  
 11 to consider the charge of distribution of  
 12 Class B, subsequent, and possession with  
 13 intent to distribute a Class B substance on  
 14 Kevin Bridgeman. I thank you all for your  
 15 patience very much.  
 16  
 17  
 18  
 19  
 20  
 21  
 22  
 23  
 24

1 C E R T I F I C A T E  
 2

3 I, Myriam A. Maracas, Registered  
 4 Professional Reporter, do hereby certify  
 5 that the foregoing transcript is a true and  
 6 accurate transcription of my stenographic  
 7 notes taken on May 31, 2005.  
 8  
 9

10 Myriam A. Maracas  
 11 Registered Professional  
 12 Reporter  
 13  
 14  
 15  
 16  
 17  
 18  
 19  
 20  
 21  
 22  
 23  
 24



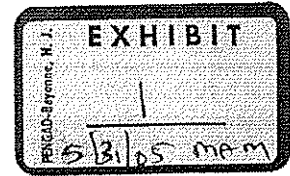
Mitt Romney  
Governor

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Paul J. Cote Jr., Commissioner

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622



DATE RECEIVED: 04/14/2005

DATE ANALYZED: 05/05/2005

NO. 744162

I hereby certify that the substance  
Contained in 22 plastic bags

MARKED: 744162

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

The identification of the contents of the 22 plastic bags  
was determined by analysis of a representative sample of 5 plastic bags.  
The net weight of the 22 plastic bags was derived from the  
average weight of the sampled plastic bags.

NET WEIGHT: 2.23 grams

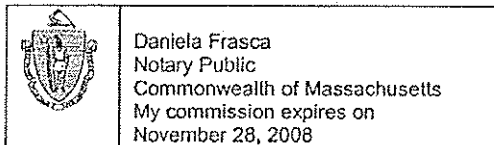
DEFENDANT: BRIDGEMAN, KEVIN

ASSISTANT ANALYSTS

Annie Dookhan

Della Saunders

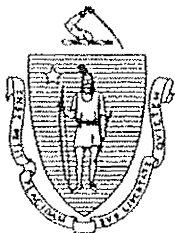
On this date May 10, 2005 before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



Mitt Romney  
Governor

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Paul J. Cote Jr., Commissioner

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622



DATE RECEIVED: 04/14/2005

DATE ANALYZED: 05/05/2005

NO. 744161

I hereby certify that the substance

Contained in 2 plastic bags

MARKED: 744161

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

2 similar items were received and 1 was randomly selected  
and analyzed.

NET WEIGHT: 0.10 grams (analyzed item only)

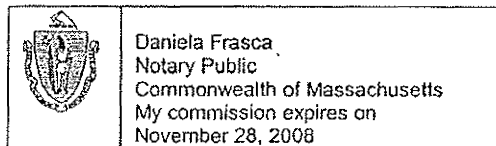
DEFENDANT: BRIDGEMAN, KEVIN

ASSISTANT ANALYSTS

Annie Dookhan

Della Saunders

On this date May 10, 2005 before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

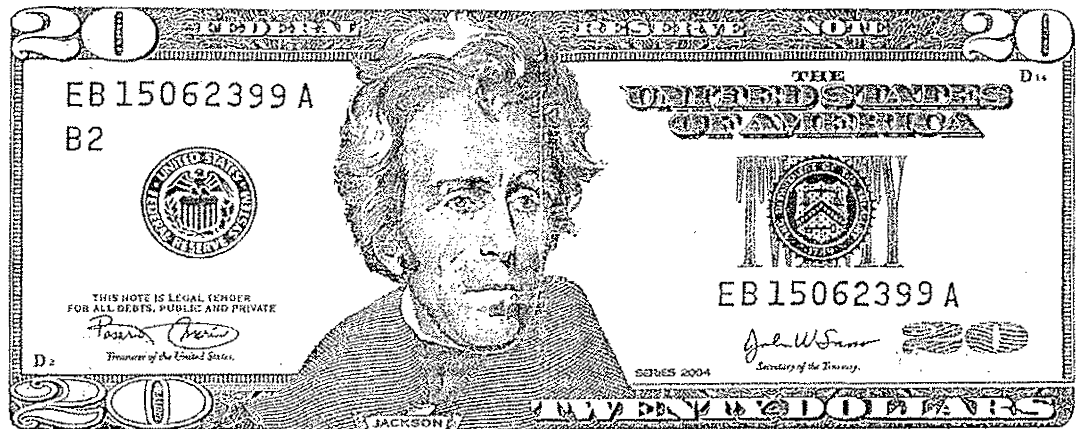
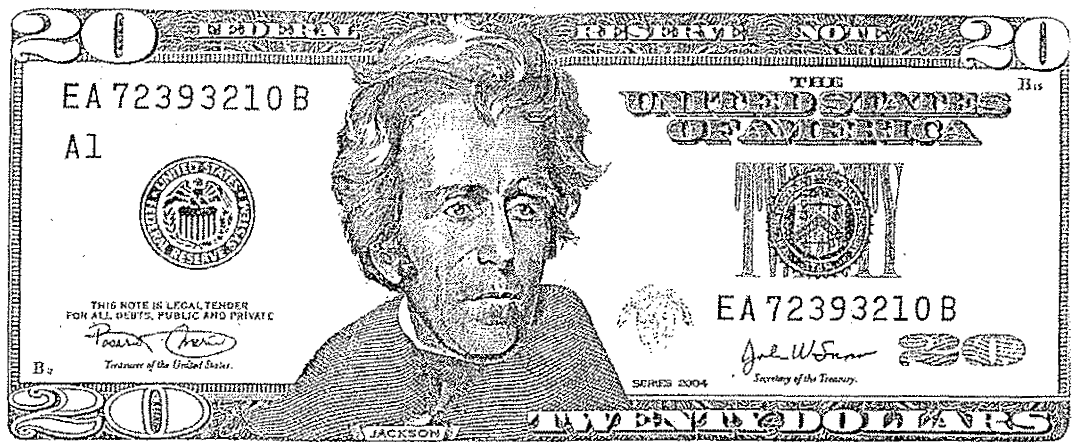
U/C Bay  
(U/C P.O. Walsn)

4/8/05

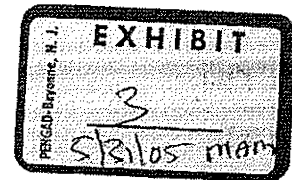
CC# 050176474

*[Signature]*

RECOVERED



RECOVERED



COMMONWEALTH VS. CC # 050176474  
MEASUREMENT COMPLETED 5/26/05 BY DET. T. LYNCH OF THE A-1 DRUG CONTROL  
UNIT USING A DEPARTMENT ISSUED ROLATAPE MEASURE MASTER SYSTEMS ROLLER,  
MODEL # MM - 30. DISTANCE: 899' 4"

BOYLSTON ST.

MASSACHUSETTS TRANSPORTATION BUILDING

STUART ST.

PARKING LOT

DOMINIC'S PIZZA

DOMINIC'S  
LOUNGE

UNIVERSITY  
HIGH SCHOOL

SIDEWALK  
11' 4"

630'

LAGRANGE ST.

T  
R  
E  
M  
O  
N  
I  
T  
S  
T.

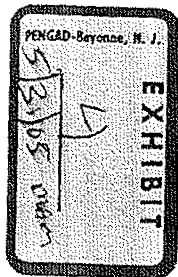
112'

146'

WILBUR  
THEATRE

WANG  
CENTER

11' 4"  
630'  
112'  
+ 146'  
899' 4"





# Boston Police DEPARTMENT

## Seized Money Form (Drug Case Only)

Arresting Officer: PO. Clifton McHale  
 I.D. 11646 Area/Unit: CW/DCU  
 Amount Seized: \$62.00

Date of Arrest: 4/8/05  
 C.C. Number: 050176474  
 Court of Jurisdiction: BMC

Was money seized Pursuant to Ch. 94C-47? Yes ☒ No ☐

Booking Number: 05-0070210

If answer above is "NO" State reason for seizure (safekeeping, evidence, etc.)

Defendant: Kevin Bridgeman Date of Birth: \_\_\_\_\_

Address: \_\_\_\_\_

**Printed Names and Signatures of Officers Verifying Amount Seized at Booking:**

Arresting Officer: Clifton McHale I.D.#: 11904 Area/Unit: A-1/CW/DCU  
 Superior Officer: James Fitzpatrick I.D.#: 9012 Area/Unit: A-1/CW/DCU

**Printed Names and Signatures of Officers Verifying Amount received at D.C.U. Headquarters:**

Financial Evidence Officer: \_\_\_\_\_ I.D.#: \_\_\_\_\_ Area/Unit: \_\_\_\_\_  
 D.C.U. Superior Officer: \_\_\_\_\_ I.D.#: \_\_\_\_\_ Area/Unit: \_\_\_\_\_

The section below is to be used to record the possession sequence, location of the money, and the final disposition.

Location	Date in	Received By	Date out	Released To	Disposition/Status

Person Receiving on Final Disposition: \_\_\_\_\_

APR 13 2005  
 Financial Evidence Officer  
 Boston Police Department  
 F.M. Code: \_\_\_\_\_

(In Final Court Disposition where money is ordered forfeited to the Boston Police Department, it shall be delivered to the Chief, Bureau of Investigative Services.)

Remarks: (3) - \$20's / (2) - \$1's

Original - Clerk, B.A.S. or Financial Evidence Officer  
 Copy - Financial evidence Officer/Copy - Filed at District/Unit/Copy - Arresting Officer

COMMONWEALTH OF MASSACHUSETTS

Suffolk

SS.

SUPERIOR COURT

Indictment Nos.

2005-10357

COMMONWEALTH

VS.

Kevin Bridgeman

WAIVER OF DEFENDANT'S RIGHTS

I have discussed the above case(s) and my constitutional and other rights with my attorney. I understand that by entering my plea of guilty I will be giving up my right to a trial by a jury or to a trial before a judge; to confront, cross-examine, and compel the attendance of witnesses; to present evidence in my defense; to remain silent and refuse to be a witness against myself by asserting my privilege against self-incrimination; all with the assistance of my defense attorney, and to be presumed innocent until proven guilty beyond a reasonable doubt.

I have been advised by my attorney of the nature of the charge or charges to which I am entering my guilty plea. I also have been advised by my attorney of the nature and range of the possible sentence or sentences. I have been advised of the recommendation on sentencing to be made by the Prosecution.

My guilty plea is not the result of force, threats, assurance or promises. I have decided to plead guilty voluntarily and freely, rather than at the direction of or because of the recommendation of any other person.

I am satisfied that my defense attorney has represented me in an effective and in a competent manner. I have had enough time to speak with him or her regarding any possible defenses I may have to the above charges.

I am not now on or under the influence of any drug, medication, liquor or other intoxicant or depressant, which would impair my ability to fully understand the constitutional and statutory rights that I am waiving when I plead guilty.

RENUNCIA DEL ACUSADO A SUS DERECHOS

Yo, he discutido el(los) caso(s) arriba mencionado(s), así como mis derechos constitucionales y demás derechos con mi abogado. Entiendo que al someter una alegación de culpabilidad renuncio a mi derecho de que mi juicio se ventile ante un jurado o ante un juez; a carearme con los testigos; contra-interrogarlos y obtener la comparecencia compulsoria de los mismos; a presentar pruebas en mi propia defensa; a permanecer en silencio y rehusar testificar en mi contra, haciendo valer así mi derecho a no incriminarme; y de hacer todo esto con la asistencia de mi abogado y a gozar de la presunción de inocencia hasta que quede comprobada mi culpabilidad fuera de toda duda razonable.

Mi abogado(a) me ha informado de la naturaleza del cargo (o cargos) ante los cuales alego mi culpabilidad. Mi abogado me ha informado cuál (cuáles) es (son) el alcance de la posible sentencia o sentencias. También he sido informado de la recomendación de sentencia que hará la Fiscalía.

Mi declaración de culpabilidad no es resultado de fuerza, amenaza, garantía o promesas. He decidido declararme culpable libre y voluntariamente y no bajo la directiva o debido a la recomendación de alguna otra persona.

Estoy satisfecho(a) con que mi abogado(a) me ha representado de forma efectiva y capaz. He tenido tiempo suficiente para discutir con él(ella) cualesquiera defensas a las cuales yo hubiese podido recurrir en los cargos ya mencionados.

En este momento no estoy bajo la influencia de ninguna droga, medicamento, licor u otra substancia intoxicante o depresiva, que me impida tener la capacidad de entender a cabalidad los derechos constitucionales y legales a los cuales renuncio mediante mi alegación de culpabilidad.

I have been advised by Judge Bell and I understand that if I am not a citizen of the United States, a conviction in the above case(s) could result in my deportation or exclusion from admission to the United States under federal immigration law and that I may be rejected as an applicant for citizenship in the United States.

I understand that I give up the right to any and all defenses, and objections which I could assert to the above case(s). I also understand that I give up my right to appeal the Court's denial of any motions to dismiss or to suppress or to the Court's acceptance of my plea of guilty to the above offenses and imposition of sentence upon me.

10/4/05  
Date/Fecha

Tal y como me informase el/la Hon. Juez                      entiendo que si no soy ciudadano de los Estados Unidos, el que se me condene del(de los) cargo(s) arriba mencionados podría resultar en mi deportación o en el que se me excluya de ser admitido(a) a los Estados Unidos bajo las leyes federales de inmigración o en el que se me denegue la naturalización conforme a las leyes de los Estados Unidos y que mi solicitud a la ciudadanía de los Estados Unidos puede ser rechazad(a) ciudadano en los Estados Unidos.

Entiendo que estoy renunciando al derecho de presentar cualquier defensa u objeciones que podría hacer valer a mi favor en el(los) caso(s) arriba mencionado(s). Entiendo además que renuncio a mi derecho a apelar la denegación de un Tribunal de cualesquiera mociones para desestimar o suprimir o el que un Tribunal acepte mi alegación de culpabilidad ante los cargos arriba mencionados y la imposición de una sentencia sobre mi persona.

Kevin B. Degen  
Print Name of Defendant  
Nombre del Acusado (letra de molde)

[Signature]  
Signature of Defendant  
Firma del Acusado

#### DEFENSE ATTORNEYS'S APPROVAL

I have discussed this case and the plea recommendation with my client in detail and have advised the defendant of all matters within the scope of Massachusetts Rules of Criminal Procedure Rule 12, including, the constitutional and other rights of the accused, the factual basis for and the nature of the offense or offenses to which the guilty plea will be entered, possible defenses, and the consequences of the guilty plea. After explaining the above to the defendant, I am satisfied that the defendant has understood my explanation. Moreover, I am satisfied that the defendant is not under the influence of any drug, medication, liquor or other intoxicant which can impair the defendant's ability to fully understand all the constitutional, statutory and/or other rights the defendant would waive when we discussed the consequences of a plea of guilty to the above indictment(s).

I represent to the Court that the Defendant has signed this document in my presence.

10/4/05  
Date

Joseph M. Heffernan  
Attorney for Defendant

038248  
BBO No.



Commonwealth of Massachusetts  
SUFFOLK SUPERIOR COURT  
Case Summary  
Criminal Docket

DTH - 00019 - F4/B

---

**Commonwealth v Bridgeman, Kevin**

---

Details for Docket: SUCR2007-10959

**Case Information**

<b>Docket Number:</b>	SUCR2007-10959	<b>Caption:</b>	Commonwealth v Bridgeman, Kevin
<b>Entry Date:</b>	09/24/2007	<b>Case Status:</b>	Criminal 1 Ctrm 704
<b>Status Date:</b>	04/17/2008	<b>Session:</b>	Disposed (sentenced)
<b>Lead Case:</b>	NA	<b>Deadline Status:</b>	
<b>Trial Deadline:</b>		<b>Jury Trial:</b>	NO

---

**Parties Involved**

---

2 Parties Involved in Docket: SUCR2007-10959

<b>Party Involved:</b>		<b>Role:</b>	Defendant
<b>Last Name:</b>	Bridgeman	<b>First Name:</b>	Kevin
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	MA
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Plaintiff
<b>Last Name:</b>	Commonwealth	<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

---

**Attorneys Involved**

---

3 Attorneys Involved for Docket: SUCR2007-10959

**Attorney**

[http://www.ma-trialcourts.org/tcic/fc/?app\\_ctx=print\\_docket](http://www.ma-trialcourts.org/tcic/fc/?app_ctx=print_docket)

4/2/2013

**Involved:**

**Last Name:** Carrigan  
**Address:** 40 Warren Street  
**City:** Charlestown  
**Zip Code:** 02129  
**Telephone:** 617-367-9554  
**Fascimile:** 617-338-9544

**Firm Name:**

**First Name:** Paul H  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Bridgeman, Kevin (Defendant)

**Attorney  
Involved:**

**Last Name:** O'Brien  
**Address:** 1 Bulfinch Place  
**City:** Boston  
**Zip Code:** 02114  
**Telephone:** 617-619-4000  
**Fascimile:** 617-619-4210

**Firm Name:** SUFF03

**First Name:** Philip  
**Address:** 3rd floor  
**State:** MA  
**Zip Ext:** 2997  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

**Attorney  
Involved:**

**Last Name:** Santisi  
**Address:** 727 High Street  
**City:** Westwood  
**Zip Code:** 02090  
**Telephone:** 781-326-9222  
**Fascimile:** 781-326-9211

**Firm Name:**

**First Name:** Frank J  
**Address:** Suite 202  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Bridgeman, Kevin (Defendant)

**Calendar Events**

9 Calendar Events for Docket: SUCR2007-10959

No.	Event Date:	Event Time:	Calendar Event:	SES:	Event Status:
1	11/26/2007	09:30	Arraignment	CM	Event rescheduled by court order
2	12/06/2007	09:30	Arraignment	CM	Event continues over multiple days
3	01/28/2008	09:30	Conference: Pre-Trial	CM	Event held as scheduled
4	03/24/2008	09:30	Status: Filing deadline	CM	Event held as scheduled
5	04/07/2008	09:30	Conference: Lobby	1	Event not held--joint request
6	04/17/2008	09:30	Hearing: Plea Change	1	Event held as scheduled
7	04/28/2008	09:30	Hearing: Misc Matters	1	Event held as scheduled
8	06/05/2008	09:00	Conference: Final Pre-Trial	5	Event canceled not re-scheduled
9	06/12/2008	09:00	TRIAL: by jury	5	Event canceled not re-scheduled

---

**Full Docket Entries**


---

92 Docket Entries for Docket: SUCR2007-10959

Entry Date:	Paper No:	Docket Entry:
09/24/2007	1	Indictment returned
09/24/2007	2	MOTION by Commonwealth for arrest warrant to issue; filed & allowed
09/24/2007	2	(Giles, J)
09/24/2007		Warrant on indictment issued
09/24/2007		Warrant was entered onto the Warrant Management System 9/24/2007
11/19/2007		Defendant not present, hearing continued until 11/26/2007 re:
11/19/2007		arraignment. Wilson, Mag - G. Brooks for P. O'Brien, ADA -
11/19/2007		ERD/Belanger - P. Carrigan, Attorney
11/26/2007		Defendant not present, hearing continued until 12/6/2007 re:
11/26/2007		arraignment.
11/26/2007	3	Commonwealth files notice of discovery.
11/26/2007	4	Commonwealth files statement of case.
11/26/2007	5	Commonwealth files list of potential witnesses.
11/26/2007		Continued to 12/6/2007 for hearing on arraignment. (Gary D Wilson,
11/26/2007		Magistrate) - J. Magrisso, ADA - ERD
12/06/2007		Defendant brought into court on warrant. Warrant Recalled.
12/06/2007		Appointment of Counsel Frank J Santisi, pursuant to Rule 53 -
12/06/2007		arraignment only.
12/06/2007		Appointment of Counsel Paul H Carrigan, pursuant to Rule 53 -
12/06/2007		case-in-chief.
12/06/2007		Deft arraigned before Court
12/06/2007		Deft waives reading of indictment
12/06/2007		RE Offense 1:Plea of not guilty
12/06/2007		RE Offense 2:Plea of not guilty
12/06/2007		RE Offense 3:Plea of not guilty
12/06/2007		Deft notified of right to request drug exam
12/06/2007		Bail set: \$100,000.00 Surety or \$10,000.00 Cash w/o/p. Bail warning
12/06/2007		read. Mittimus issued.
12/06/2007		Continued to 1/28/2008 for hearing on PTC (Gary D Wilson, Magistrate)
12/06/2007		- C. Bartoloni for P. O'Brien, ADA - ERD - F. Santisi, Attorney
12/06/2007		Warrant canceled on the Warrant Management System 12/6/2007
01/28/2008		Defendant not present
01/28/2008	6	Pre-trial conference report filed
01/28/2008		Continued to 3/24/08 by agreement for the filing of motions
01/28/2008		Continued to 4/7/08 for hearing re: lobby conference by agreement.
01/28/2008		Continued to 6/5/08 for FPTH in 5th Session
01/28/2008		Continued to 6/12/08 for PTD in 5th Session by agreement.

01/28/2008		Case Tracking scheduling order (Gary D Wilson, Magistrate) mailed
01/28/2008		1/28/2008 - P. O'Brien, ADA - ERD - P. Carrigan, Atty
03/24/2008		Defendant not in court.
03/24/2008	7	Deft files: Motion for specific discovery
03/24/2008	8	Deft files: Motion for Bill of Particulars with an affidavit in
03/24/2008	8	support thereof
03/24/2008	9	Deft files: Motion for access to view monitoring device with
03/24/2008	9	affidavit in support thereof
03/24/2008	10	Deft files: Motion to suppress evidence illegally seized with an
03/24/2008	10	unsigned affidavit in support thereof
03/24/2008	11	Deft files: Motion for exculpatory evidence with an affidavit in
03/24/2008	11	support thereof
03/24/2008	12	Deft files: Motion for specific discovery, training materials, etc.
03/24/2008	12	with an affidavit in support thereof
03/24/2008	13	Deft files: Motion for access to view evidence with an affidavit in
03/24/2008	13	support thereof. Case has 4/7/08 hearing date for Lobby Conference
03/24/2008	13	(J. Session) Wilson, MAG - C. Bartoloni for P.O. Brien - ERD,
03/24/2008	13	Belanger, C.R. - P. Carrigan, Attorney
04/07/2008		Defendant not present, continued until 4/17/2008 by agreement for
04/07/2008		hearing re: plea. Ball J - P. O'Brien, ADA - ERD - P. Carrington,
04/07/2008		attorney
04/17/2008		Defendant brought into court. Defendant offers to plead guilty. After
04/17/2008		hearing, Court accepts defendant's offer. Defendant pleads guilty as
04/17/2008		charge to #001 and #003 2nd offense
04/17/2008	14	Waiver of defendants' rights filed
04/17/2008		RE Offense 1:Guilty plea
04/17/2008		RE Offense 3:Guilty plea
04/17/2008		Defendant warned per Chapter 278, Sec 29D of alien status
04/17/2008		Defendant warned per Chapter 22E Sec. 3 of DNA - Commonwealth moves
04/17/2008		for sentencing.
04/17/2008		Defendant sentenced as to #001 - MCI Cedar Junction not more than
04/17/2008		five (5) years not less than three (3) years concurrent with sentence
04/17/2008		now serving @ MCI Concord. Nunc Pro Tunc to 7/26/07.
04/17/2008		Defendant sentenced as to #003 - MCI Cedar Junction not more than
04/17/2008		five (5) years not less than three (3) years concurrent with #001 and
04/17/2008		concurrent with sentence now serving @ MCI concord. Nunc Pro tunc to
04/17/2008		7/26/07
04/17/2008		Victim witness fee of \$90.00 and drug fee waived by Court
04/17/2008		Notified of right of appeal under Rule 64
04/17/2008		Upon oral motion of the Commonwealth #002 is dismissed, defendant
04/17/2008		assenting thereto.
04/17/2008		RE Offense 2:Dismissed - Ball J - P. O'Brien, ADA - ERD - P.
04/17/2008		

Carrigan, Attorney

04/23/2008 Defendant not present, continued until 4/28/2008 by agreement re:

04/23/2008 resentencing. Conolly J - P.O'Brien, ADA - ERD

04/28/2008 Defendant brought into court. Hearing re: amending of offenses #001

04/28/2008 and #003 - After hearing at request of Commonwealth offenses #001 and

04/28/2008 #003 each amended to read " pursuant to MGL ch 94C sec 32A(a)" and

04/28/2008 Second offense portion MGL Ch 94C sec 32A(b). Ball J - P. O'Brien,

04/28/2008 ADA - ERD - p. Carrigan, attorney

11/15/2012 15 Deft files Motion to be declared indigent

11/15/2012 16 Deft files Motion to be declared indigent

03/08/2013 17 Deft files Motion to be Declared Indigent

03/08/2013 MOTION (P#17) allowed. McIntyre, J (P. O'Brien, ADA and deft pro se

03/08/2013 notified)

---

## Charges

---

3 Charges for Docket: SUCR2007-10959

No.	Charge Description:	Indictment:	Status:
1	DRUG, DISTRIBUTE CLASS B, SUBSQ.OFF. c94C s32A(b)		Guilty plea
2	DRUG VIOLATION NEAR SCHOOL/PARK c94C s32J		Dismissed
3	DRUG, DISTRIBUTE CLASS B, SUBSQ.OFF. c94C s32A(b)		Guilty plea

---

© Copyright, Massachusetts Administrative Office of the Trial Court, 2000 - 2001.



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
617-983-6622

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN BIGEY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

DATE RECEIVED: 07/31/2007

DATE ANALYZED: 08/14/2007

NO. 821288

I hereby certify that the substance  
Contained in 2 plastic bags

MARKED: 821288

Submitted by P.O. CRAIG SMALLS of the BOSTON POLICE DEPT.

Has been examined with the following results:



The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

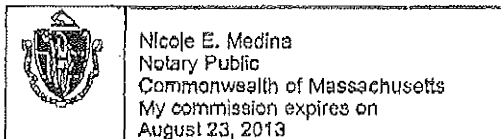
2 items were received and 1 was selected and analyzed.

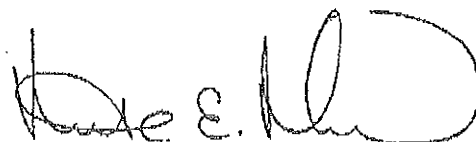
NET WEIGHT: 0.12 grams (analyzed item only)

DEFENDANT: BRIDGEMAN, KEVIN

  
ASSISTANT ANALYSTS Daniel Renczkowski  Annie Dookhan

On this day, August 16, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.





Nicole E. Medina, NOTARY PUBLIC  
My commission expires on August 23, 2013

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130  
617-983-6622

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

DATE RECEIVED: 07/31/2007

DATE ANALYZED: 08/14/2007

NO. 821289

I hereby certify that the substance  
Contained in 10 plastic bags

MARKED: 821289

Submitted by P.O. CRAIG SMALLS of the BOSTON POLICE DEPT.

Has been examined with the following results:


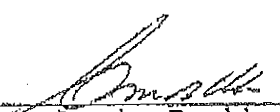
The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

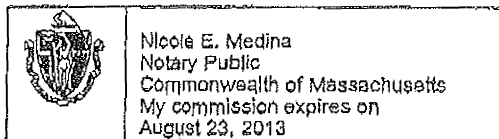
10 items were received and 1 was selected and analyzed.

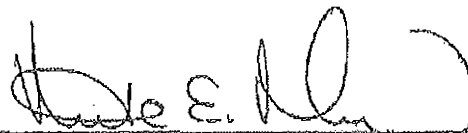
NET WEIGHT: 0.15 grams (analyzed item only)

DEFENDANT: BRIDGEMAN, KEVIN

  
ASSISTANT ANALYSTS Daniel Renczkowski  Annie Dookhan

On this day, August 16, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.





Nicole E. Medina, NOTARY PUBLIC  
My commission expires on August 23, 2013

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

 FILE 1

No. of Pages: 17

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, SS.

SUPERIOR COURT

SUFFOLK COUNTY

GRAND JURY

RE: KEVIN BRIDGEMAN

Presented By: PHILIP O'BRIEN, ESQ.

Assistant District Attorney

Also Present: LINDA POULOS, ESQ.

Assistant District Attorney

---

Monday, September 24, 2007

Boston, Massachusetts

KAREN CASSOLA NORMAN, PROFESSIONAL COURT REPORTER

\*\*\*\*\*COMPUTER AIDED TRANSCRIPTION\*\*\*\*\*



## I-N-D-E-X

## WITNESS

## PAGE

Peter Chu

3, 14

## GRAND JURY EXHIBITS

## NUMBER

## PAGE

1	Copy of Boston Police Department Buy Money	6
2	Copy of a Certificate of Analysis	11
3	Copy of a Certificate of Analysis	11

1 MR. O'BRIEN: Good morning, ladies and  
2 gentlemen. My name is Philip O'Brien. I'd like to  
3 begin an investigation into the facts and  
4 circumstances surrounding an alleged distribution of  
5 Class B in a park zone, possession with intent to  
6 distribute Class B in a park zone.

7 The Commonwealth calls Officer Peter Chu.

8  
9 PETER CHU, SWORN.

10  
11 Q (By Mr. O'Brien) Would you please introduce yourself  
12 to the Grand Jury.

13 A Hi. My name is Peter Chu and my last name is spelled  
14 C-H-U.

15 Q And what is your occupation?

16 A I'm a police officer for the City of Boston.

17 Q And how long have you been a Boston Police officer?

18 A Approximately thirteen years now.

19 Q And where are you currently assigned?

20 A Currently assigned to the Drug Control Unit.

21 Q In Area A-1?

22 A Correct.

23 Q And how long you been a Drug Control Unit officer?

24 A Approximately ten years.

1 Q And were you working on July 26th of 2007?

2 A Yes, I was.

3 Q If I may draw your attention to approximately 6:30 in  
4 the evening. Were you working, on that day, at that  
5 hour?

6 A Yes, I was. I was working in an undercover capacity.  
7 My role was to attempt to purchase drugs in the  
8 Boston Common area.

9 Q And what other officers were working with you?

10 A Sergeant Detective Dwan, who is my immediate  
11 supervisor, Officer Ryle, Officer Mahoney, and we had  
12 Officer Green and Bates, from the Anti-Crime Unit.

13 Q And where were you focusing your investigation on  
14 July 26th, 2007?

15 A The Boston Commons.

16 Q And where, in particular, were you at the beginning  
17 of this investigation?

18 A I was deployed in the area and I was hanging around  
19 inside the Boston Common opposite the Loews Theatre.

20 Q Would you describe the Boston Common to the Grand  
21 Jury.

22 A It's a public park. It's got a baseball field. I  
23 believe it's one of -- considered one of the first  
24 national parks. We've had a lot of complaints and a

1 lot of drug activity in that area. We've conducted  
2 numerous investigations in that area and arrested  
3 probably hundreds of individuals for selling crack  
4 cocaine in the area.

5 Q And is it maintained by the City of Boston?

6 A Yes, it is.

7 Q And in addition to the Boston Police, who else  
8 patrols there?

9 A You've got the park rangers, who are also in there,  
10 that patrol it and like he said -- like he said, it's  
11 maintained by the City of Boston Public Works keep it  
12 up.

13 Q Now, as you were inside the park, did you see other  
14 people going in and out of the park?

15 A Yes.

16 Q And what, in particular, would you tell the Grand  
17 Jury what you did?

18 A I walked up to a white male, unknown white male, had  
19 conversation with him. He was sitting on a bench. I  
20 informed him that I was interested in purchasing  
21 crack cocaine.

22 Q And now prior to your entry into the -- in the public  
23 garden, what did you have with you?

24 A I was provided with U.S. currency, Boston Police buy

1 money.

2 (Grand Jury Exhibit Number 1 marked; Copy  
3 of Boston Police Department Buy Money)

4 Q And I'm showing what's been marked as Grand Jury  
5 Exhibit Number 1 for September 24, 2007, which is --  
6 notes the CC number and undercover Officer Chin and  
7 the target of the investigation.

8 Is that a photocopy of the particular buy money  
9 that you had with you when you went into the public  
10 garden?

11 A Yes, sir.

12 Q And was this money later obtained from Kevin  
13 Bridgeman?

14 A Yes, it was recovered from him.

15 Q And did you have any other items with you?

16 A I was carrying a KEL set device, which is a  
17 monitoring device, where the other officers and  
18 surveillance officers could hear my conversation.

19 Q And any other items?

20 A I was carrying a homemade crack pipe.

21 Q And what was your purpose in carrying the homemade  
22 crack pipe?

23 A Because I've been -- I've made numerous undercover  
24 purchases, and many times they'll ask me if I have a

1 straight shooter, which is a homemade crack pipe, so  
2 I just learned from experience, so, I just carry it  
3 with me, because I get questioned a lot.

4 Q And will you tell the Grand Jury, when you first  
5 spoke to an individual as you entered the park, would  
6 you give the specifics of that conversation and what  
7 you did afterwards?

8 A I just informed the white male -- I had a short  
9 conversation with him, initially. I told him I was  
10 looking for crack cocaine. He told me to wait, wait  
11 for -- wait for somebody named Pork Chop and that he  
12 had the good stuff. At that point, we waited for a  
13 while. Another black male joined in on the  
14 conversation. He also expressed interest and we just  
15 all sat there for about ten minutes, just having  
16 conversation. And about approximately ten minutes  
17 later, I observed a black male later identified as  
18 Kevin Bridgeman.

19 Q And did you engage in conversation with Mr.  
20 Bridgeman?

21 A Not at first. No, we observed him. The white male  
22 yelled out to him. Yelled out, "Pork Chop". And at  
23 that point, Mr. Bridgeman approached us and the white  
24 male had informed Mr. Bridgeman that we were all

1 interested in purchasing crack cocaine, and during  
2 that conversation Mr. Bridgeman looked over at me.  
3 He says, "I don't know you." I then said, "I'm  
4 Chino. They know me." And the unknown white male  
5 and the unknown black male actually vouched for me.

6 Q Now, did you know the unknown black male or the  
7 unknown white male?

8 A No. Just from the ten minute conversation I had with  
9 them.

10 Q And what did Pork Chop respond after that response?

11 A He, at that point, asked me if I had a straight  
12 shooter, which is a crack pipe. I displayed that  
13 homemade crack pipe to him and at that point he was  
14 satisfied. Then he stated to all of us that he  
15 wasn't going to do it in the Boston Commons, because  
16 it was too hot, he didn't want to get arrested, and  
17 we were going to do this in the public gardens. So,  
18 at that point, we all proceeded to walk to the public  
19 gardens.

20 Q And is the public -- would you describe the public  
21 gardens to the Grand Jury?

22 A Yes. It's just another public park, that's  
23 maintained by the City of Boston and patrolled by  
24 Boston Police, also park rangers. There's a little

1           -- a little pond in there and I guess it's a public  
2           park, directly across the street from Boston Common.

3       Q     And so as you cross the street from the Boston Common  
4           to the public gardens, where did you go?

5       A     During the walk, we were joined in by an unknown  
6           black female and we all entered the public gardens.  
7           At that point, once we were inside, we all huddled  
8           around Mr. Bridgeman. He reached into his budge  
9           area, underneath in his underwear -- in his budge  
10          area and removed the plastic bag.

11       Q     I'm sorry, in his what area?

12       A     His budge area, right in his groin area.

13       Q     And what did he do?

14       A     He removed a plastic bag, containing several rocks of  
15          crack cocaine, tore it open, handed one to the  
16          unknown white male in exchange for currency and at  
17          that point, I said, "Give me two." He handed me two  
18          beige rocks, believed to be crack cocaine and I  
19          handed him the \$40.

20       Q     And that was the \$40 marked money that you had been  
21          provided by Sergeant Detective Dwan before you began  
22          this investigation; correct?

23       A     That's correct.

24       Q     And what happened after you gave him the money?



1       A     After I gave him the money, I just turned around and  
2             walked away from the group.

3       Q     He gave you -- what did he give you?

4       A     He gave me two bags of crack cocaine.

5       Q     And how were they packaged?

6       A     They were in a plastic bag.

7       Q     And what did you do next?

8       A     At that point, I walked away from the group, signaled  
9             to all the surveillance officers that the drug deal  
10            was completed and then the other officers moved in.

11      Q     And that was -- you had to come out of the park;  
12             correct?

13      A     Yes. I came out of the park, signaled to them.

14      Q     And what happened after the other officers came in?

15      A     They went into the public gardens, stopped Mr.  
16             Bridgeman. I informed the officers that Mr.  
17             Bridgeman was, in fact, the individual that sold me  
18             the drugs.

19      Q     And was Mr. Bridgeman subsequently searched?

20      A     Yes, he was.

21      Q     And, again, the \$40 was found on him?

22      A     Yes. Officer Ryle recovered \$40 from him, seized his  
23             cell phone and several latex gloves and additional  
24             money. I believe it was \$122 currency.

1 Q And were other drugs seized from Mr. Bridgeman?

2 A Yes. They recovered an additional ten bags of crack  
3 cocaine.

4 Q And where was that recovered from?

5 A From his buttocks area.

6 Q And was the packaging in those for the second group  
7 of drugs that were seized from Mr. Bridgeman, was  
8 that consistent with the -- the two that you had been  
9 sold?

10 A Yes, similar in size and shape and the way it was  
11 packaged.

12 Q And what was done with the drugs that were seized,  
13 both the two that were served to you, as well as the  
14 other items that were seized from Mr. Bridgeman?

15 A They were eventually sent to the state lab and  
16 analyzed.

17 (Grand Jury Exhibit Number 2 marked; Copy  
18 of Certificate of Analysis)

19 (Grand Jury Exhibit Number 3 marked; Copy  
20 of Certificate of Analysis)

21 Q And I'm showing you what's been marked as Grand Jury  
22 Exhibit Number 2 and 3 for today's date, September  
23 24, 2007. Do you recognize those documents?

24 A Yes, I do.

1 Q And what do you recognize those documents to be?

2 A These are analyses forms from the state lab. And  
3 these were, the drugs that I purchased and the drugs  
4 that the officers recovered were, in fact, analyzed,  
5 tested and found to contain cocaine.

6 Q And in regards to the ten items that were in the bag  
7 received or obtained from Boston Police when Mr.  
8 Bridgeman was arrested, do you have information in  
9 regards to the results of the analysis for those  
10 drugs?

11 A Yes. The analysis form is marked number 821289.  
12 Those were the ten bags recovered and they were  
13 analyzed. One was analyzed and it shows that it  
14 contained cocaine.

15 Q They were positive for Class B, cocaine?

16 A Correct.

17 Q And were they in rock form?

18 A Yes, they were.

19 Q And the drugs that you were sold, again, referring to  
20 the Cert Number on Grand Jury Exhibit Number 2, what  
21 is the Cert Number?

22 A 821288.

23 Q And that was also analyzed and found positive for  
24 cocaine, which is a Class B substance?

1 A That's correct.

2 MR. O'BRIEN: Do any of the Grand Jurors  
3 have any questions of this witness?

4 Yes, sir?

5 JUROR: And this transaction that you do  
6 with them, have they ever asked you if you wanted to  
7 try it, you know, to, you know, like sometimes people  
8 test -- taste cocaine, sometimes they smoke a joint  
9 with them. Do they ask you to buy or declare his  
10 situation?

11 A Yes, I've been asked on numerous occasions and many  
12 times I'll say, "Yes, sure, I'll smoke it with you",  
13 whatever. And then once I give them the money, they  
14 forget about it. There were incidents where they  
15 want me to take a hit, then I'll walk away from them,  
16 but, yes.

17 MR. O'BRIEN: Any other questions?

18 JUROR: Does loose powder cocaine and crack  
19 cocaine carry different charges?

20 A No. It's both Class B substance, but they're just in  
21 a different form. Crack cocaine is ingested by --  
22 they smoke it. Powder cocaine is usually snorted and  
23 sometimes even injected. But actually crack cocaine  
24 is the highest, more intense, versus powder cocaine.

1 JUROR: Were you not afraid of your cover  
2 being blown?

3 A I've been doing this for ten years, now, so, yeah, my  
4 cover has blown in the past. But, yes, I'm always  
5 leery about it, yeah

6 MR. O'BRIEN: Any other questions?

7 JURORS: (No further questions.)

8 MR. O'BRIEN: Thank you, sir.

9 A Thank you.

10 (Witness Excused)

11 MR. O'BRIEN: Ladies and gentlemen, based on  
12 the evidence you've heard during the course of this  
13 investigation, the testimony you've received, I'd ask  
14 you to return a true bill against Kevin Bridgeman for  
15 the July 26, 2007 distribution of Class B and  
16 possession with intent to distribute Class B. I'd  
17 also ask you to -- I'm sorry, in a park.

18 (Vote)

19 MR. O'BRIEN: The Commonwealth recalls  
20 Officer Peter Chu.

21

22 PETER CHU, RECALLED.

23

24 Q (By Mr. O'Brien) Officer Chu, I understand that the

1 Grand Jury has returned a true bill against Kevin  
2 Bridgeman. Have you had an opportunity to review Mr.  
3 Bridgeman's biographical information?

4 A Yes, sir.

5 Q And do you have additional information to report to  
6 the Grand Jury?

7 A Yes. That he was also convicted of possession to  
8 distribute Class B.

9 Q And I'm sorry, does that information include that on  
10 Docket 2005-10357, you've had an opportunity also to  
11 review the certified copy of conviction, and that Mr.  
12 Bridgeman was convicted in the Suffolk Superior Court  
13 for distribution of Class B, on that docket?

14 A Correct.

15 MR. O'BRIEN: Do any of the Grand Jurors  
16 have any questions of this witness?

17 JURORS: (No questions.)

18 MR. O'BRIEN: Thank you, sir.

19 A Thank you.

20 (Witness Excused)

21 MR. O'BRIEN: Ladies and gentlemen, based on  
22 the testimony you've heard, I'd ask you to return a  
23 second and subsequent enhancement to the prior true  
24 bill that was previously before you.

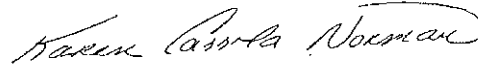
(Vote)

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24

## C E R T I F I C A T E

I, KAREN CASSOLA NORMAN, a Court Reporter and Notary Public in and for the Commonwealth of Massachusetts, do hereby certify that the foregoing Record, Pages 1 to 16, inclusive, is a true and accurate transcription of my Voice Recording to the best of my knowledge, skill and ability.

IN WITNESS WHEREOF, I have hereunto set my hand and Notarial Seal this 16<sup>th</sup> day of November, 2007.



---

KAREN CASSOLA NORMAN,  
Notary Public

My Commission expires May 2, 2014.



*Ducl 07-10989-001*  
INDICTMENT

Possession of Class B Controlled Substance with Intent to Distribute  
C. 94C, §32A(c)

*Commonwealth of Massachusetts*

---

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,

begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of September in

the year of our Lord two thousand and seven

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on July 26, 2007, did unlawfully, knowingly and intentionally possess with intent to distribute a certain controlled substance, to wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.

INDICTMENT

Possession of Class B Controlled Substance with Intent to Distribute  
C. 94C, §32A(d)  
Second Offense

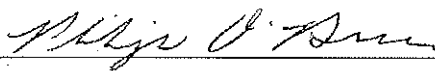
- 2 -

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on October 4, 2005, prior to the commission of the offense heretofore described in this indictment was convicted in the Suffolk Superior Court of the offense of Distribution of Class B Controlled Substance, Docket # SUCR2005-10357, and this is therefore a second and subsequent such offense.

A TRUE BILL


  
Assistant District Attorney

  
Foreman of the Grand Jury

Superior Court Department - Criminal Business  
**SEP 24 2007**

September, Sitting, 2007

Returned into said Superior Court by the Grand Jurors and ordered to be filed.

  
Clerk Of Court

*MC07-10959*  
INDICTMENT

Possession of Class B Controlled Substance with Intent to Distribute in a Park Zone  
C. 94C, §32J

# Commonwealth of Massachusetts

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,

begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of September in the year

of our Lord two thousand and seven.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on July 26, 2007, within one hundred feet of the real property comprising the Public Gardens School, a public park, did unlawfully, knowingly, and intentionally possess with intent to distribute a certain controlled substance, to wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.

A TRUE BILL

*Philip A. [Signature]*  
Assistant District Attorney

*Aussa Robinson*  
Foreman of the Grand Jury

*Superior Court Department - Criminal Business*

*September, Sittings, 2007*

**SEP 24 2007**

*Returned into said Superior Court by the Grand Jurors and ordered to be filed.*

*Maura A. Hennigan*  
Clerk Of Court

INDICTMENT

Unlawful Distribution of Class B Controlled Substance  
C. 94C, §32A(c)

*Commonwealth of Massachusetts*

SUFFOLK, SS.

At the SUPERIOR COURT DEPARTMENT OF THE TRIAL COURT FOR CRIMINAL BUSINESS,  
begun and holden at the CITY OF BOSTON, within and for the County of Suffolk, on the first Monday of September in the year  
of our Lord two thousand.

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on July 26, 2007, did unlawfully, knowingly and intentionally distribute to Peter Chu a certain controlled substance, to  
wit: cocaine, a Class B controlled substance under the provisions of G.L. c. 94C, § 31.

INDICTMENT

Unlawful Distribution of Class B Controlled Substance  
C. 94C, §32A(d)  
Second Offense

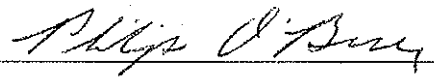
- 2 -

THE JURORS for the COMMONWEALTH OF MASSACHUSETTS on their oath present that

**KEVIN BRIDGEMAN,**

on October 4, 2005, prior to the commission of the offense heretofore described in this indictment was convicted in the Suffolk Superior Court of the offense of Distribution of Class B Controlled Substance, Docket # SUCR2005-10357, and this is therefore a second and subsequent such offense.

A TRUE BILL

  
Assistant District Attorney


  
Foreman of the Grand Jury

*Superior Court Department - Criminal Business*

*September, Sittings, 2007*

**SEP 24 2007**

*Returned into said Superior Court by the Grand Jurors and ordered to be filed.*

  
Clerk Of Court

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT DEPARTMENT  
INDICTMENT SUCR 2007-10959

COMMONWEALTH  
v.

KEVIN BRIDGEMAN

---

COMMONWEALTH'S NOTICE OF DISCOVERY

---

Now comes the Commonwealth in the above-captioned matters and respectfully states that it has this date provided counsel for the defendant with the following discovery material:

- (1) Copy of the Commonwealth's Statement of the case.
- (2) Copy of the Boston Police Incident Report, cc #070411149.
- (3) Copy of the Booking Sheet.
- (4) Copy of the defendant's Board of Probation Record.
- (5) Copy of the Buy Money.
- (6) Copy of the Certificate of Analysis.
- (7) Copy of the Grand Jury Minutes for September 24, 2007 (17 pages).
- (8) Copy of the Commonwealth's Witness List.
- (9) Copy of the Defendant's Certified Copy of Conviction, SUCR2005-10357.

Respectfully Submitted,  
For the Commonwealth  
DANIEL F. CONLEY,  
DISTRICT ATTORNEY

By:



Philip B. O'Brien  
Assistant District Attorney  
For the Suffolk District  
Boston, MA 02114  
(617) 619-4216

Dated: November 26, 2007

*Delivered  
11-26-07*

4

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT DEPARTMENT  
INDICTMENT SUCR 2007-10959

COMMONWEALTH

v.

KEVIN BRIDGEMAN

---

COMMONWEALTH'S STATEMENT OF THE CASE

---

On July 26, 2007 at 6:30 pm the Area A-1 DCU was operating in the Public Gardens. An undercover officer was directed to a man called "Pork Chop" inside the Park. Bridgeman distributed two rocks of crack cocaine to the undercover in exchange for \$40 in buy money. The defendant was stopped and arrested after the sale. He had the buy money in his right pocket with \$122 in U.S. currency in his other pockets. During a pat frisk officers felt a large bulge in Bridgeman's buttocks area. A large bag was retrieved from Bridgeman's pants containing ten individually wrapped rocks of crack cocaine. The defendant was convicted in Suffolk Superior Court on October 4, 2005 for possession with intent to distribute class B.

Respectfully Submitted,  
For the Commonwealth  
DANIEL F. CONLEY,  
DISTRICT ATTORNEY

By:



Philip E. O'Brien  
Assistant District Attorney  
For the Suffolk District  
Boston, MA 02114  
(617) 619-4216

Dated: November 23, 2007

*Filed  
11-26-07*

SUFFOLK, ss.

COMMONWEALTH OF MASSACHUSETTS  
SUPERIOR COURT DEPARTMENT  
INDICTMENT SUCR 2007-10959

COMMONWEALTH

v.

KEVIN BRIDGEMAN

---

COMMONWEALTH'S LIST OF POTENTIAL WITNESSES


---

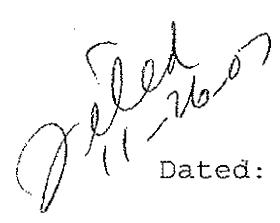
The Commonwealth's List of witnesses expected to testify at trial are:

1. Witness: Sgt. Det. William Dwan,  
Boston Police Department, Area A-1.
2. Witness: Officer Peter Chu  
Boston Police Department, Area A-1.
3. Witness: Officer Steven Green  
Boston Police Department, Area A-1.
4. Witness: Officer John Ryle  
Boston Police Department, Area A-1.
5. Witness: Det. Tim Lynch  
Boston Police Department, Area A-1.
6. Witness: Officer John Bates  
Boston Police Department, Area A-1.

Respectfully Submitted,  
For the Commonwealth  
DANIEL F. CONLEY,  
DISTRICT ATTORNEY

By:

  
Philip B. O'Brien  
Suffolk County Assistant  
District Attorney  
One Bulfinch Place  
Boston, MA 02114

  
Dated: 11/26/07



CERTIFICATE OF SERVICE

I hereby certify that a true copy of the above Commonwealth's Notice of Discovery was served upon the attorneys of record for these matters, Attorney Paul Carrigan by HAND on November 26, 2007.

By:



Philip B. O'Brien  
B.B.O. 635781  
Assistant District Attorney  
For the Suffolk District  
Boston, MA 02114  
(617) 619-4216

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, s.s.

Superior Court Department  
Indictment No.(s) 07-10959

Commonwealth

v.

Kevin Bridgeman

PRE-TRIAL CONFERENCE REPORT

A pre-trial conference was held on \_\_\_\_\_ between the Assistant District Attorney and Counsel for the Defendant with the following results:

A. Procedure:

1. ☒ The Defendant is presently in custody at MCI Concord.  
\_\_\_\_\_ The Defendant is not presently in custody.
2. A writ of habeas corpus to MCI Concord will be necessary to bring the Defendant into Court.
3. The case \_\_\_\_\_ is likely ☒ is not likely to be disposed of without a trial. (Not binding)  
The case will be a ☒ jury trial \_\_\_\_\_ jury waived. (Not binding)
4. The proposed trial date is \_\_\_\_\_.
5. The probable length of the trial will be 2 days.
6. A NA language interpreter will be necessary.

B. Mandatory Discovery for the Defendant pursuant to Rule 14(a)(1)(A)(1)-(1x):

1. The Commonwealth has disclosed, or has permitted the defense to discover, inspect and copy, the following items and information which are relevant to the case and are in the possession, custody or control of the prosecutor, persons under the prosecutor's direction and control, or persons who have participated in investigating or evaluating the case and either regularly report to the prosecutor's office or have done so in the case:

\_\_\_\_\_ written or recorded statements, and the substance or any oral statements, made by the defendant or co-defendant;

\_\_\_\_\_ grand jury minutes, and the written or recorded statements of person(s) who testified before the grand jury;

\_\_\_\_\_ any facts of an exculpatory nature;

\_\_\_\_\_ the names, address, and dates of birth of the Commonwealth's prospective witnesses other than law enforcement witnesses;

*Filed 1/28/08*

- \_\_\_\_\_ the names and business addresses of prospective law enforcement witnesses;
- \_\_\_\_\_ the identity, current curriculum vitae and list of publications of each intended expert witness and all reports prepared by the expert witness(es) that pertain to the case;
- \_\_\_\_\_ all material and relevant police reports, photographs, tangible objects and all intended exhibits, reports of physical examinations of any person or of scientific tests or experiments, and statements of persons the Commonwealth intends to call as witnesses;
- \_\_\_\_\_ a summary of identification procedures, and all statements made in the presence of or by an identifying witness that are relevant to the issue of identify or to the fairness or accuracy of of the identification procedures;
- \_\_\_\_\_ disclosure of all promises, rewards or inducements made to witnesses the Commonwealth intends to present at the trial;
- \_\_\_\_\_ a statement disclosing whether wire or oral communications of the defendant have been intercepted; whether wire or oral communications relevant or material to the case have been intercepted; and whether any percipient witness is government informant whose identity and/or location is claimed to be privileged from disclosure and service or relevant documents pursuant to G.L. c. 272, sec. 99(O); and
- \_\_\_\_\_ Other \_\_\_\_\_
2. \_\_\_\_\_ Notice of the existence, location, and identity of any persons possessing items described under Rule 14(a)(1)(A)(i)-(ix), not within the possession, custody or control of the prosecution, persons under its discretion and control, or persons who have participated in investigating or evaluating the case and either regularly report to the prosecutor's office or have done so in the case (Rule 14(a)(1)(D));
3. \_\_\_\_\_ The Commonwealth agrees to provide the Defendant on or about \_\_\_\_\_ date with the following discovery materials which have not yet been provided:

**C. Reciprocal discovery for the Prosecution pursuant to Rule 14(a)(1)(B).**

1. The Defendant shall disclose to the prosecution and permit the Commonwealth to discover, inspect, and copy by \_\_\_\_\_ (date) any material and relevant evidence to discoverable under (a)(1)(A)(vi), (vii) and (ix) which the defendant intends to use at trial, including the names, addresses, dates of birth, and statements of those persons whom the defendant intends to use as witnesses at trial,
2. \_\_\_\_\_ Other: \_\_\_\_\_

**D. Notice of Alibi pursuant to Rule 14(b)(1).**

1. The Defendant agrees to serve upon the prosecutor a written notice, signed by the defendant, of his or her intention to offer a defense of alibi on or before \_\_\_\_\_ (Date). The notice by the defendant shall state the specific place or places at which the defendant claims to have been at the time of the alleged offense and the names and addresses of the witnesses upon whom the defense intends to rely to establish the alibi.

- E. Notice of Defense pursuant to Rule 14(b)(2) and Rule 14(b)(3).**

- F. Other agreements reached by the parties:**

None

- G. Matters upon which the parties could not agree and which are to be subject of pre-trial motions include:**

To Be Determined  
Motions in Limine

- H. Stipulations of fact:**

None

*Philip R. Green*  
Assistant District Attorney

Paul H. Carriger  
Attorney for the Defendant

Date \_\_\_\_\_

Defendant  
(if required by Mass. R. Crim. P. 11(a)(2)(A))

7

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

MOTION FOR SPECIFIC DISCOVERY

Now comes the Defendant in the above captioned matter and hereby moves this Honorable Court to order the Commonwealth to provide the following specific discovery:

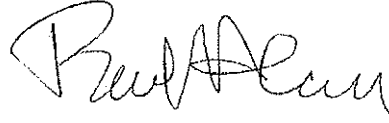
1. All verbal, non-verbal, written or recorded statements of the Defendant within the possession, custody or control of the prosecutor or persons under his or her direction and control, including but not limited to:
  - a. Duplicates of any cassette tapes or video tapes of the Defendant's statements;
  - b. Any non-verbal statements of the Defendant during any questioning; and,
  - c. Any statements of the Defendant not yet reduced to writing;
2. Any and all photographs or recordings of any kind taken or used in the above captioned matter, including, but not limited to, photographs or recordings taken to memorialize the drug operation, a scene or condition. Photographs or recordings are to be produced by way of copies, duplicates if available, and access to view the originals;
3. Any and all documents provided to or used by each and every officer involved in the undercover drug operation in the Boston Common / Public Gardens area on the day in question regarding said operation, in preparation for said operation, and/or resulting from said operation;
4. Any and all documents relating to the alleged "buy money" or proof thereof, including documentation of said money prior to the use of said money by the undercover officer in the above captioned matter;
5. Information regarding, including any and all documentation of, the specific role and exact location of each and every member of the undercover drug operation from one hour prior to the undercover officer's contact with Mr. Bridgeman until one hour after his arrest;
6. Documentation of the statement contained in the Incident Report regarding "hundreds of drug arrests in this area in the past" and of the statement of Officer Chu before the Grand Jury regarding arresting "hundreds of individuals for selling crack cocaine in the area".

In support hereof, the Defendant states that said specific discovery is relevant to the above captioned matter and necessary for a complete and adequate representation of the

3/24/08  
Filed

Defendant. Wherefore, the Defendant in the above captioned matter respectfully requests that this Honorable Court exercise its discretion and order the Commonwealth to provide said specific discovery.

Respectfully Submitted,  
Kevin Bridgeman,  
By his Attorney,



Paul H. Carrigan, Esq.  
15 Court Square, Suite 730  
Boston, Massachusetts 02108  
Telephone No: (617) 367-9554  
BBO No: 075780

#### CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I delivered a true copy of this motion to the Assistant District Attorney by hand / first class mail, postage prepaid on this 24<sup>th</sup> day of March, 2008.

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

MOTION FOR BILL OF PARTICULARS

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and moves that this Honorable Court order the Commonwealth to furnish him with the following particulars:

1. The time(s) of the alleged crime;
2. *The place(s) of the alleged crime, including but not limited to the specific locations in both the Boston Common and in the Public Gardens that each and every element of the undercover drug operation involving the Defendant occurred, including a description with sufficient detail so that defense counsel or his agent may locate and observe said locations;*
3. The manner in which the alleged crime was allegedly committed; and,
4. The means employed to commit the alleged offense.

In support hereof, the defense states that this information is necessary to protect Mr. Bridgeman's rights to exculpatory evidence, to present a defense, to the effective assistance of counsel, to confront the witnesses against him, and to a fair trial as guaranteed by Articles Twelve and Fourteen of the Declaration of Rights of the Massachusetts Constitution and the Fifth, Sixth, and Fourteenth Amendments of the United States Constitution. In further support hereof, the defense cites Chapter 277, section 38 of the Massachusetts General Laws, Commonwealth v. Williams, 23 Mass. App. Ct. 716, 720-21, (1987), Commonwealth v. Robinson, 24 Mass. App. Ct. 680 (1987), Commonwealth v. Monitaino, 409 Mass. 500-12 (1991), quoting United States v. Cruikshank, 92 U.S. 542, 558 (1875), ("A crime is made up of acts and intent; and these must be set forth in the indictment with reasonable particularity of time, place, and circumstances").

WHEREFORE, Kevin Bridgeman, the Defendant in the above captioned matter, respectfully requests that this Motion for Bill of Particulars be allowed for the foregoing reasons.

Respectfully Submitted,

Kevin Bridgeman,

By his Attorney,



Paul H. Carrigan, Esq.

15 Court Sq., Suite 730

Boston, Massachusetts 02108

Telephone No: (617) 367-9554

BBO No: 075780

3/24/08  
Filed

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT

NO: 07-10959

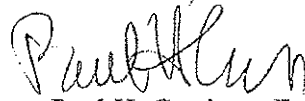
COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION FOR BILL OF PARTICULARS

I, Paul H. Carrigan, hereby states to the best of my information and belief:

1. I am an attorney duly appointed by the Court to represent Kevin Bridgeman in the above captioned matter;
2. The crime alleged in the above captioned matter was part of an undercover drug operation in the Boston Common. The undercover police officer's alleged interactions with Mr. Bridgeman began at some location in the Boston Common, continued through the Common, across a street, into the Public Gardens, and allegedly concluded at some location within the Public Gardens. I require specific information regarding the exact location of each and every element of the time the undercover officer allegedly spent with Mr. Bridgeman in order to fully and adequately defend him in this matter;
3. This information is necessary to protect Mr. Bridgeman's rights to exculpatory evidence, to present a defense, to the effective assistance of counsel, to confront the witnesses against him, and to a fair trial as guaranteed by Articles Twelve and Fourteen of the Declaration of Rights of the Massachusetts Constitution and the Fifth, Sixth, and Fourteenth Amendments of the United States Constitution; and,
4. It is in the interests of fairness and justice that this motion be allowed.

Signed under the penalties of perjury this 24<sup>th</sup> day of March, 2008.

  
Paul H. Carrigan, Esq.

CERTIFICATE OF SERVICE

I, hereby certify that I forwarded a true copy of this motion and affidavit to the Assistant District Attorney at Suffolk Superior Court by hand / first class mail, postage prepaid on this 24<sup>th</sup> day of March, 2008.





9

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT

NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

MOTION FOR ACCESS TO VIEW MONITORING DEVICE

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and moves this Honorable Court to order access for defense counsel or his agent to the KEL set monitoring device used by the undercover officers during the drug operation which resulted in the arrest of Mr. Bridgeman.

In support hereof, the defense states counsel must have access to the monitoring device used by the undercover police officers in this matter in order to adequately and completely evaluate and prepare its case. Mr. Bridgeman's rights to exculpatory evidence, to confront the witnesses against him, to effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution require that this motion be allowed. It is further in the interests of fairness and justice that this motion be allowed.

WHEREFORE, Kevin Bridgeman, the Defendant in the above captioned matter, respectfully requests that this Honorable Court order access the KEL set monitoring device used by the undercover officers during the drug operation which resulted in the arrest of Mr. Bridgeman.

Respectfully Submitted,  
Kevin Bridgeman,  
By his Attorney,

*Paul H. Carrigan*

Paul H. Carrigan, Esq.  
15 Court Sq., Suite 730  
Boston, Massachusetts 02108  
Telephone No: (617) 367-9554  
BBO No: 075780

3/24/08  
Filed

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION FOR ACCESS TO MONITORING DEVICE

I, Paul H. Carrigan, hereby state to the best of my information and belief:

1. I am an attorney duly appointed by the Court to represent Kevin Bridgeman in the above captioned matter;
2. Myself or my agent must have access to the monitoring device used by the undercover police officers in this matter in order to adequately and completely evaluate and prepare this case;
3. Mr. Bridgeman's rights to exculpatory evidence, to confront the witnesses against him, to effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution require that this motion be allowed; and,
4. It is further in the interests of fairness and justice that this motion be allowed.

Signed under the penalties of perjury this 24<sup>th</sup> day of March, 2008.

Paul H. Carrigan, Esq.

CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I forwarded a true copy of this motion and affidavit to the Assistant District Attorney by hand / first class mail, postage prepaid on this 24<sup>th</sup> day of March, 2008.

*Paul H. Carrigan*

10

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )

V. )

KEVIN BRIDGEMAN )

MOTION TO SUPPRESS EVIDENCE ILLEGALLY SEIZED

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and complains that he was the victim of an unlawful search and seizure by police officers for the City of Boston and moves that this Honorable Court order that any and all property seized after the illegal search of his person and seizure, including but not limited to a plastic bag containing 10 individually wrapped plastic bags of beige rocks believed to be crack cocaine, be suppressed as evidence.

Said unlawful arrest and unlawful search occurred on July 26, 2007 at approximately 6:30 pm in the Public Gardens of the City of Boston. The search of Mr. Bridgeman's person and seizure was illegal because:

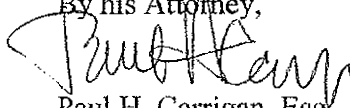
1. There was no probable cause for the search of his person;
2. The search of the defendant was an illegal search of his person;
3. There were no exigent circumstances justifying the search of his person;
4. The defendant did not consent to the search;
5. The scope of the search exceeded a constitutional Terry frisk; and,
6. There was no warrant justifying the search.

WHEREFORE, Kevin Bridgeman, the Defendant in the above captioned matter, says that the aforementioned evidence was obtained in violation of his right to be secure from unreasonable searches and seizures as guaranteed by Article Fourteen of the Declaration of Rights of the Massachusetts Constitution and the Fourth Amendment of the United States Constitution.

Respectfully Submitted,

Kevin Bridgeman,

By his Attorney,



Paul H. Carrigan, Esq.

15 Court Sq., Suite 730

Boston, Massachusetts 02108

Telephone No: (617) 367-9554

BBO No: 075780

CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I forwarded a true copy of this motion and affidavit to the Assistant District Attorney at Suffolk Superior Court by hand / first class mail, postage prepaid on this 24<sup>th</sup> day of March, 2008.

3/24/08  
Filed



COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION TO SUPPRESS EVIDENCE ILLEGALLY SEIZED

I, Kevin Bridgeman, hereby state to the best of my information and belief:

1. I am the Defendant in the above captioned matter;
2. On July 26, 2007 at about 6:30 pm in the Public Gardens in the City of Boston I was subjected to an illegal search of his person and seizure;
3. There was no probable cause for the search of his person;
4. The search of was an illegal search of his person;
5. There were no exigent circumstances justifying the search of his person;
6. I did not consent to the search;
7. The scope of the search exceeded a constitutional Terry frisk;
8. There was no warrant justifying the search;
9. The actions of the Boston police officers violated my right to be secure from unreasonable searches and seizures as guaranteed by Article Fourteen of the Declaration of Rights of the Massachusetts Constitution and the Fourth Amendment of the United States Constitution; and,
10. It is in the interests of fairness and justice that this motion be granted.

Signed under the penalties of perjury, this                      day of                      , 2008.

\_\_\_\_\_  
Kevin Bridgeman

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 0710959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

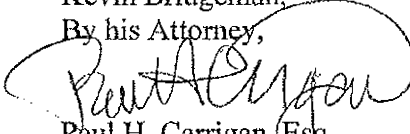
MOTION FOR EXCULPATORY EVIDENCE

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and respectfully requests that this Honorable Court order the Commonwealth or its agents, servants, or employees to provide the defense with any and all exculpatory evidence in its possession, custody and control.

In support hereof, the Defendant states that the defense must receive any and all exculpatory evidence in order to adequately and completely prepare and present a defense in the above captioned matter. The defense must be given exculpatory evidence in order to protect Mr. Bridgeman's rights to exculpatory evidence, to present a defense, to confront the witnesses against him, to the effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution. It is further in the interests of fairness and justice that this motion be allowed

WHEREFORE, Kevin Bridgeman, the Defendant in the above captioned matter, respectfully requests that this Honorable Court order the Commonwealth, its agents, servants, or employees to provide the defense with any and all exculpatory evidence in its possession, custody, and control.

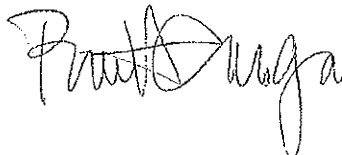
Respectfully Submitted,  
Kevin Bridgeman,  
By his Attorney,

  
Paul H. Carrigan, Esq.  
15 Court Sq., Suite 730  
Boston, Massachusetts 02108  
Telephone No: (617) 367-9554  
BBO No: 075780

CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I forwarded a true copy of this motion and affidavit to the Assistant District Attorney by hand / first class mail, postage prepaid on this 24th day of March, 2008.

3/24/08  
Filed



COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

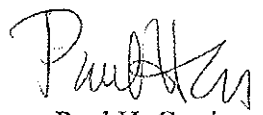
COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION FOR EXCULPATORY EVIDENCE

I, Paul H. Carrigan, hereby state to the best of my information and belief:

1. I am an Attorney duly appointed by the Court to represent Kevin Bridgeman in the above captioned matter;
2. According to discovery, at least three persons are charged with the offenses complained of in the above captioned matter. Evidence tending to show that the other perpetrators and/or not Mr. Bridgeman committed the alleged offenses would be exculpatory in nature and required by the defense. Any other information tending to be exculpatory in nature is also required by the defense in order to evaluate and prepare their case;
3. This information is necessary to protect Mr. Bridgeman's rights to exculpatory evidence, to present a defense, to confront the witnesses against him, to the effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution; and,
4. It is further in the interests of fairness and justice that this information be provided to the defense.

Signed under the penalties of perjury this 24<sup>th</sup> day of March, 2008.

  
Paul H. Carrigan

12

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

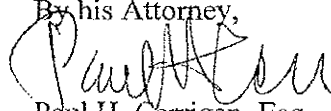
COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

MOTION FOR SPECIFIC DISCOVERY  
(Training Materials, Etc.)

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and hereby moves this Honorable Court order the Commonwealth to provide the following specific discovery:

1. A copy of any and all rules, protocols, standards, guidelines, directives and/or policies of the Boston Police Department that are recommended, required, offered and/or available to the police officers of the Boston Police Department with regards to drug dealers, drug dealing, undercover drug operations, the difference between the dealing and the personal use of drugs, and/or facts that show that a suspect is a drug dealer;
2. A copy of any and all documents, books, texts, training manuals, and/or similar materials that are recommended, required, offered and/or available to the police officers involved in the above captioned matter with regards to drug dealers, drug dealing, undercover drug operations, the difference between the dealing and the personal use of drugs, and/or facts that show that a suspect is a drug dealer; and,
3. A copy of any and all certificates, certifications, and/or proofs of completion of training programs by the officers involved in the above captioned matter of programs regarding drug dealers, drug dealing, undercover drug operations, the difference between the dealing and the personal use of drugs, and/or facts that show that a suspect is a drug dealer;

Respectfully Submitted,  
Kevin Bridgeman,  
By his Attorney,

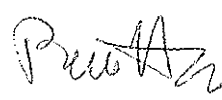


Paul H. Carrigan, Esq.  
15 Court Sq., Suite 730  
Boston, Massachusetts 02108  
Telephone No: (617) 367-9554  
BBO No: 075780

CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I delivered a true copy of this motion and affidavit to the Assistant District Attorney by hand / first class mail, postage prepaid on this 24th day of March, 2008.

3/24/08  
Filed



COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION FOR SPECIFIC DISCOVERY  
*(Training Materials, Etc.)*

I, Paul H. Carrigan, hereby state to the best of my information and belief:

1. I am an attorney duly appointed by the court to represent the Defendant in the above captioned matter;
2. Any and all documents regarding drug dealing that were somehow used by the police officers involved in the above captioned matter directly affect their conduct and the determination made by said police officers that the Defendant was dealing drugs;
3. Any such requested documents are necessary for the defense to review in preparation for cross-examination and in building their defense. Said documents may also be exculpatory in nature;
4. Such documents are necessary to protect the Defendant's rights to exculpatory evidence, to present a defense, to the effective assistance of counsel, to confront the witnesses against him, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth and Fourteenth Amendments of the United States Constitution; and,
5. If is further in the interests of fairness and justice that this Honorable Court exercise its discretion and allow this motion.

Signed under the penalties of perjury this *14th* day of *May*, 2008.

*Paul H. Carrigan*  
Paul H. Carrigan, Esq.



13

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

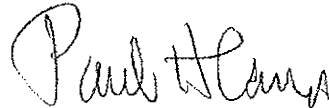
MOTION FOR ACCESS TO VIEW EVIDENCE

Now comes Kevin Bridgeman, the Defendant in the above captioned matter, and moves this Honorable Court to order access for defense counsel or his agent to any and all physical evidence in the possession of the Commonwealth or its agents, servants and employees.

In support hereof, the defense states counsel must have access to any and all physical evidence to adequately and completely evaluate and prepare its case. Mr. Bridgeman's rights to exculpatory evidence, to confront the witnesses against him, to effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution require that this motion be allowed. It is further in the interests of fairness and justice that this motion be allowed.

WHEREFORE, Kevin Bridgeman, the Defendant in the above captioned matter, respectfully requests that this Honorable Court order access to any and all physical evidence in the possession of the Commonwealth or its agents, servants and employees.

Respectfully Submitted,  
Kevin Bridgeman,  
By his Attorney,



Paul H. Carrigan, Esq.  
15 Court Sq., Suite 730  
Boston, Massachusetts 02108  
Telephone No: (617) 367-9554  
BBO No: 075780

3/24/08  
Filed

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
NO: 07-10959

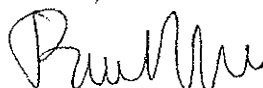
COMMONWEALTH )  
 )  
V. )  
 )  
KEVIN BRIDGEMAN )

AFFIDAVIT IN SUPPORT OF  
MOTION FOR ACCESS TO EVIDENCE

I, Paul H. Carrigan, hereby state to the best of my information and belief:

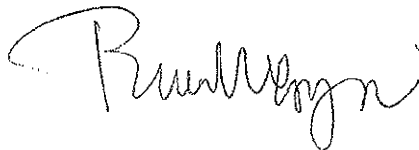
1. I am an attorney duly appointed by the Court to represent Kevin Bridgeman in the above captioned matter;
2. Myself or my agent must have access to any and all physical evidence in the possession of the Commonwealth, its agents, servants or employees to adequately and completely evaluate and prepare this case;
3. Mr. Bridgeman's rights to exculpatory evidence, to confront the witnesses against him, to effective assistance of counsel, and to a fair trial as guaranteed by Article Twelve of the Declaration of Rights of the Massachusetts Constitution and the Sixth Amendment of the United States Constitution require that this motion be allowed; and,
4. It is further in the interests of fairness and justice that this motion be allowed.

Signed under the penalties of perjury this 24<sup>th</sup> day of March, 2008.

  
Paul H. Carrigan, Esq.

CERTIFICATE OF SERVICE

I, Paul H. Carrigan, hereby certify that I forwarded a true copy of this motion and affidavit to the Assistant District Attorney by hand / first class mail, postage prepaid on this 24<sup>th</sup> day of March, 2008.



COMMONWEALTH OF MASSACHUSETTS

Suffolk

ss.

SUPERIOR COURT

Indictment Nos.

07CR 10959

COMMONWEALTH

vs.

KEVIN BRIDGEMAN

WAIVER OF DEFENDANT'S RIGHTS

I have discussed the above case(s) and my constitutional and other rights with my attorney. I understand that by entering my plea of guilty I will be giving up my right to a trial by a jury or to a trial before a judge; to confront, cross-examine, and compel the attendance of witnesses; to present evidence in my defense; to remain silent and refuse to be a witness against myself by asserting my privilege against self-incrimination; all with the assistance of my defense attorney, and to be presumed innocent until proven guilty beyond a reasonable doubt.

I have been advised by my attorney of the nature of the charge or charges to which I am entering my guilty plea. I also have been advised by my attorney of the nature and range of the possible sentence or sentences. I have been advised of the recommendation on sentencing to be made by the Prosecution.

My guilty plea is not the result of force, threats, assurance or promises. I have decided to plead guilty voluntarily and freely, rather than at the direction of or because of the recommendation of any other person.

I am satisfied that my defense attorney has represented me in an effective and in a competent manner. I have had enough time to speak with him or her regarding any possible defenses I may have to the above charges.

I am not now on or under the influence of any drug, medication, liquor or other intoxicant or depressant, which would impair my ability to fully understand the constitutional and statutory rights that I am waiving when I plead guilty.

RENUNCIA DEL ACUSADO A SUS DERECHOS

Yo, he discutido el(los) caso(s) arriba mencionado(s), así como mis derechos constitucionales y demás derechos con mi abogado. Entiendo que al someter una alegación de culpabilidad renuncio a mi derecho de que mi juicio se ventile ante un jurado o ante un juez; a carearme con los testigos; contra-interrogarlos y obtener la comparecencia compulsoria de los mismos; a presentar pruebas en mi propia defensa; a permanecer en silencio y rehusar testificar en mi contra, haciendo valer así mi derecho a no incriminarme; y de hacer todo esto con la asistencia de mi abogado y a gozar de la presunción de inocencia hasta que quede comprobada mi culpabilidad fuera de toda duda razonable.

Mi abogado(a) me ha informado de la naturaleza del cargo (o cargos) ante los cuales alego mi culpabilidad. Mi abogado me ha informado cuál (cuáles) es (son) el alcance de la posible sentencia o sentencias. También he sido informado de la recomendación de sentencia que hará la Fiscalía.

My declaración de culpabilidad no es resultado de fuerza, amenaza, garantía o promesas. He decidido declararme culpable libre y voluntariamente y no bajo la directiva o debido a la recomendación de alguna otra persona.

Estoy satisfecho(a) con que mi abogado(a) me ha representado de forma efectiva y capaz. He tenido tiempo suficiente para discutir con él(ella) cualesquiera defensas a las cuales yo hubiese podido recurrir en los cargos ya mencionados.

En este momento no estoy bajo la influencia de ninguna droga, medicamento, licor u otra sustancia intoxicante o depresiva, que me impida tener la capacidad de entender a cabalidad los derechos constitucionales y legales a los cuales renuncio mediante mi alegación de culpabilidad.

Aud 4/17/08

I have been advised by Judge Bail and I understand that if I am not a citizen of the United States, a conviction in the above case(s) could result in my deportation or exclusion from admission to the United States under federal immigration law and that I may be rejected as an applicant for citizenship in the United States.

I understand that I give up the right to any and all defenses, and objections which I could assert to the above case(s). I also understand that I give up my right to appeal the Court's denial of any motions to dismiss or to suppress or to the Court's acceptance of my plea of guilty to the above offenses and imposition of sentence upon me.

4/17/08  
Date/Fecha

#### DEFENSE ATTORNEYS'S APPROVAL

I have discussed this case and the plea recommendation with my client in detail and have advised the defendant of all matters within the scope of Massachusetts Rules of Criminal Procedure Rule 12, including; the constitutional and other rights of the accused, the factual basis for and the nature of the offense or offenses to which the guilty plea will be entered, possible defenses, and the consequences of the guilty plea. After explaining the above to the defendant, I am satisfied that the defendant has understood my explanation. Moreover, I am satisfied that the defendant is not under the influence of any drug, medication, liquor, or other intoxicant which can impair the defendant's ability to fully understand all the constitutional, statutory and/or other rights the defendant would waive when we discussed the consequences of a plea of guilty to the above indictment(s).

I represent to the Court that the Defendant has signed this document in my presence.

4/17/08  
Date

Paul H. Carrigan  
Attorney for Defendant

075780  
BBO No.

Tal y como me informase el/la Hon. Juez

entiendo que si no soy ciudadano de los Estados Unidos, el que se me condene del(de los) cargo(s) arriba mencionados podría resultar en mi deportación o en el que se me excluya de ser admitido(a) a los Estados Unidos bajo las leyes federales de inmigración o en el que se me denegue la naturalización conforme a las leyes de los Estados Unidos y que mi solicitud a la ciudadanía de los Estados Unidos puede ser rechazad(a) ciudadano en los Estados Unidos.

Entiendo que estoy renunciando al derecho de presentar cualquier defensa u objeciones que podría hacer valer a mi favor en el(los) caso(s) arriba mencionado(s). Entiendo además que renuncio a mi derecho a apelar la denegación de un Tribunal de cualesquiera mociones para desestimar o suprimir o el que un Tribunal acepte mi alegación de culpabilidad ante los cargos arriba mencionados y la imposición de una sentencia sobre mi persona.

Kevin Bridgeman  
Print Name of Defendant  
Nombre del Acusado (letra de molde)

X Kevin Bridgeman  
Signature of Defendant  
Firma del Acusado

16  
17  
[Date]

11/12/2012

Clerk of Court – Criminal Business

SUFFOLK SUPERIOR [name of court]

3 PEMBERTON SQUARE [street address]

BOSTON, MA 02108

[City] [State] [Zip code]

RE: Commonwealth v. KEVIN BRIDGEMAN [print name of defendant]

Docket No(s). 0710959, 0510357 [print docket number or numbers]

Dear Sir/Madam:

Please find enclosed for filing the Defendant's Motion to Be Declared Indigent, with Affidavit of Indigency.

Please bring this motion to the attention of the court for action. After the court acts, please forward a copy of the motion to:

Attorney Carol Beck  
44 Bromfield Street  
Boston, MA 02108

Thank you for your attention to this matter.

Yours Truly,

Kevin Bridgeman

[Sign your name]

KEVIN BRIDGEMAN, pro se

Phone number: \_\_\_\_\_

[print or type your name]

[print or type your mailing address]

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK; ss.  
[County]

SUFFOLK SUPERIOR COURT  
[name of court]

DOCKET NO. 0310959, 0510357

COMMONWEALTH )  
 )  
V. )  
KEVIN BRIDGEMAN )  
[name of defendant] )

*Allowed*  
*Hon. G. The Judge*  
*3-8-2013*

DEFENDANT'S MOTION TO BE DECLARED INDIGENT

Now comes the defendant, pro se, in the above-entitled matter and moves this Honorable Court, pursuant to M.G.L. c.211D and Supreme Judicial Court Rule 3:10 to declare the defendant indigent.

As reasons for the foregoing request, the defendant states:

1. The defendant is now indigent, without funds to retain an attorney to pursue post-conviction remedies. Although not incarcerated, the defendant is unable to seek post-conviction relief without a determination of indigency.
2. A party's indigency status may be reviewed at any time if information regarding a change in financial circumstances becomes available to a probation officer or other appropriate court employee, through the court's verification system, or from some other source, including the party. Supreme Judicial Court Rule 3:10, Section 7.
3. It appears likely that drug testing in my case was compromised by the involvement of Hinton Laboratory Chemist Annie Dookhan, either as an identified testing chemist, or as a result of other serious misconduct. Ms. Dookhan has been accused by law enforcement officials of intentionally contaminating drug evidence to ensure positive tests, inflating drug sample weights, falsifying drug analysis findings, inaccurately recalibrating instruments, and fraudulently altering chain of custody

documents during a time period relevant to this case. As a consequence of the Attorney General's investigation, two other laboratory supervisors have been suspended, and the drug laboratory in Jamaica Plain has been completely closed down.

4. The defendant has been informed by CPCS that it will screen his case for a possible post-conviction motion if his indigency is determined by the court.

In support of this motion, the defendant has attached an Affidavit of Indigency.

Respectfully submitted,

Date: 11-12-12

Kevin Bridgeman

[sign name here]

Kevin Bridgeman

pro se

[print name]

\_\_\_\_\_  
[mailing address]  
\_\_\_\_\_  
\_\_\_\_\_

# AFFIDAVIT OF INDIGENCY

AND REQUEST FOR WAIVER, SUBSTITUTION  
OR STATE PAYMENT OF FEES & COSTS

(Note: If you are currently confined in a prison or jail and are not seeking immediate release under G.L. c. 248 §1, but you are suing correctional staff and wish to request court payment of "normal" fees (for initial filing and service), do not use this form. Obtain separate forms from the clerk.)

SUFFOLK SUPERIOR  
Court

Case Name and Number (if known)

Name of applicant KEVIN BRIDGEMAN

Address

(Street and number)

(City or town)

(State and Zip)

**SECTION 1:** Under the provisions of General Laws, Chapter 261, Sections 27A-27G, I swear (or affirm) as follows:

**I AM INDIGENT** in that (check only one):

- ☒ (A) I receive public assistance under Transitional Aid to Families with Dependent Children (TAFDC), Emergency Aid to Elderly, Disabled or Children (EAEDC), Supplemental Security Income (SSI), Medicaid (MassHealth) or Massachusetts Veterans Benefits Programs; (circle form of public assistance received); or
- ☐ (B) My income, less taxes deducted from my pay, is \$ \_\_\_\_\_ per week/month/year (circle period that applies), for a household of \_\_\_\_\_ persons, consisting of myself and \_\_\_\_\_ dependents; which income is at or below the court system's poverty level; (Note: The court system's poverty levels for households of various sizes must be posted in this courthouse. If you cannot find it, ask the clerk. The court system's poverty level is updated each year.) [List any other available household income for the circled period on this line: \_\_\_\_\_] or
- ☐ (C) I am unable to pay the fees and costs of this proceeding, or I am unable to do so without depriving myself or my dependents of the necessities of life, including food, shelter and clothing.

IF YOU CHECKED (C), YOU MUST ALSO COMPLETE THE SUPPLEMENT TO THE AFFIDAVIT OF INDIGENCY.

**SECTION 2:** (Note: In completing this form, please be as specific as possible as to fees and costs known at the time of filing this request. A supplementary request may be filed at a later time, if necessary.)

I request that the following **NORMAL FEES AND COSTS** be waived (not charged) by the court, or paid by the state, or that the court order that a document, service or object be substituted at no cost (or a lower cost, paid for by the state): (Check all that apply and, in any "\$ \_\_\_\_\_" blank, indicate your best guess as to the cost, if known.)

- ☒ Filing fee and any surcharge. \$ 275
- ☒ Filing fee and any surcharge for appeal. \$ 275
- ☒ Fees or costs for serving court summons, witness subpoenas or other court papers. \$ 250



☐ Other fees or costs of \$ \_\_\_\_\_ for (specify): \_\_\_\_\_

☐ Substitution (specify): \_\_\_\_\_

**SECTION 3:** I request that the following **EXTRA FEES AND COSTS** either be waived (not charged), substituted or paid for by the state:

☐ Cost, \$ \_\_\_\_\_, of expert services for testing, examination, testimony or other assistance  
(specify): \_\_\_\_\_

☐ Cost, \$ \_\_\_\_\_, of taking and/or transcribing a deposition of (specify name of person): \_\_\_\_\_

☐ Cassette copies of tape recording of trial or other proceeding, needed to prepare appeal for applicant **not** represented by Committee for Public Counsel Services (CPCS-public defender).

☐ Appeal bond

☐ Cost, \$ \_\_\_\_\_, of preparing written transcript of trial or other proceeding

☐ Other fees and costs, \$ \_\_\_\_\_, for (specify) \_\_\_\_\_

☐ Substitution (specify) : \_\_\_\_\_

Date signed	Signed under the penalties of perjury
11-12-12	x <i>Kevin Budek</i>
By order of the Supreme Judicial Court, all information in this affidavit is <b>CONFIDENTIAL</b> . Except by special order of a court, it shall not be disclosed to anyone other than authorized court personnel, the applicant, applicant's counsel or anyone authorized in writing by the applicant.	
This form prescribed by the Chief Justice of the SJC pursuant to G.L. c. 261, § 27B. Promulgated March , 2003	

# **PETITIONER YASIR CREACH**

BOSTON MUNICIPAL COURT DEPARTMENT  
FOR CRIMINAL BUSINESS

NAME: Yasir Creach

DOCKET # 0501CR142

OFFENSE: Trespassing

APR 20 2005

Defendant in Custody

FILE # 0501CR142

CHARGE # 2185

ABUSE

STUDDNET

Frederman

CHARGE 2185

AND

Abuse

STUDDNET

Griffin

Default taken  
off no fee

COLLOQUY HELD  
ALICE WARNING COVER

Count 1

FOUND GUILTY

PRISON ~~30~~ 30 Days

Concurrent with 0201CR2586 Deemed  
Served

THE COURT ORDERS THAT THE SAID DEFENDANT  
IS DEEMED TO HAVE SERVED 60 MONTHS  
CONFINEMENT PRIOR TO THIS SENTENCE

Count 2

FOUND GUILTY

PRISON ~~1~~ 1 year

Concurrent with 0201CR2586

R. M. V. NOTIFIED

All Fees Waived

M. M. M. M. M.

Flaherty

BOSTON MUNICIPAL COURT DEPARTMENT  
FOR CRIMINAL BUSINESS

NAME: Yousif Creech  
OFFENSE: Trespass  
possession of Class A

DOCKET # GS 192

MAR 23 2005

ATTORNEY Fallon

APPEARANCE

4948  
1006-

NON

RECEIVED

18 PTC 7/14/00 Griffin APPEARANCE

11 PTH 4/19

\$ 250. cash to April 14 Rm 18

Judge Quabree

March 24, 2005 Received from Suffolk Superior Court  
a Notice or Order of Detention for Service of Bail  
the detention was denied without prejudice for

April 14, 2005  
sent page #38 of book  
4/14/2005 Rm

APR 14 2005

AK6 Detention 4/14/05

ATTORNEY

Fallon

YACB 2150

Evenstad

REPORT

PO. Larente

APPEARANCE

**RECEIVED**  
**APR 14 2005**

Report ordered completed

**Warrant Notice Issued**

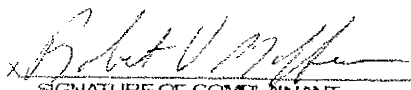
Warrant Management System 04/14/05

For det

TRB

Warrant returned Warrant Management System 04/14/05

<b>APPLICATION FOR COMPLAINT</b>		<b>NUMBER</b>		Trial Court of Massachusetts Boston Municipal Court Department Boston Municipal Court Criminal Division, 11th Floor room 1105 90 Devonshire Street Boston, MA 02109	
<input checked="" type="checkbox"/> <b>ARREST</b>		<b>HEARING</b>		<b>SUMMONS</b>	
The within named complainant requests that a complaint issue against the within named defendant, charging said defendant with the offense(s) listed below.					
<b>DATE OF APPLICATION</b> 01/07/2005		<b>DATE OF OFFENSE</b> 01/07/2005		<b>PLACE OF OFFENSE</b> 61 Beach St	
<b>NAME, ADDRESS AND ZIP CODE OF COMPLAINANT</b>  MAFFEO, ROBERT / 06659				<b>NO.</b>	<b>OFFENSE</b>
<b>NAME, ADDRESS AND ZIP CODE OF DEFENDANT</b>  CREACH, YASIR				1	TRESPASS c266 s120
				2	DRUG, POSSESS CLASS B c94C s34
				3	
				4	
IF A ADDITIONAL OFFENSES CHECK HERE AND ATTACH.					
<b>DEFENDANT IDENTIFICATION INFORMATION - Complete data below if known.</b>					
<b>C.C. #</b> 050011770	<b>DATE OF BIRTH</b>	<b>SEX</b> M	<b>RACE</b> W	<b>HEIGHT</b> 5' 11"	<b>WEIGHT</b> 210 lbs
		<b>EYES</b> HAZ	<b>HAIR</b> BRO	<b>SOCIAL SECURITY NUMBER</b>	
<b>COURT USE ONLY</b>	A hearing upon this complaint application will be held at the Boston Municipal Court, Rm. 1105 on			<b>DATE OF HEARING</b> AI	<b>COURT USE ONLY</b>
<b>CASE PARTICULARS - BE SPECIFIC</b>					
<b>No.</b>	<b>NAME OF VICTIM</b> Owner of property, person assaulted, etc.	<b>DESCRIPTION OF PROPERTY</b> Goods stolen, what destroyed, etc.		<b>VALUE OF PROPERTY</b> Over or under \$250.	<b>TYPE OF CONTROLLED SUBSTANCE OR WEAPON</b> Marijuana, gun, etc..
1	COMM. OF MASS.,	The posted alley beside 61 Beach Street, Boston			
2	COMM. OF MASS.,	Two (2) Pieces of a substance			Believed to be "Crack" Cocaine
3					
4					
<b>OTHER REMARKS:</b> ABOUT 19:45 MEMBERS OF THE A-1 DRUG CONTROL UNIT WERE CONDUCTING A DRUG INVESTIGATION IN THE CHINATOWN AREA. THIS AREA IS KNOWN TO THE OFFICERS FOR EXTENSIVE DRUG ACTIVITY. WHILE OFFICERS CHU, PIRRELLO AND WILLIAMSON WHO WERE WORKING IN AN UNDERCOVER CAPACITY WERE MAKING OBSERVATIONS OF THE ACTIVITY ON BEACH ST. OFFICERS OBSERVED A HISPANIC MALE LATER IDENTIFIED AS YASIR CREACH STANDING AT THE CORNER OF BEACH ST AND HUDSON ST. HE APPEARED AS THOUGH HE WAS LOOKING FOR SOMEONE AS HE PEERED UP AND DOWN BEACH ST. SEVERAL MINUTES LATER A BLACK MALE LATER IDENTIFIED AS DAVID JOHNSON WALKED TO BEACH ST AND HUDSON ST. JOHNSON AND CREACH ENGAGED IN A BRIEF CONVERSATION. THEY THEN WALKED TO THE MOUTH OF AN ALLEY NEXT TO 61 BEACH ST AND CONTINUED THEIR CONVERSATION. MOMENTS LATER JOHNSON OPENED THE GATE TO THE ALLEY AND THEY BOTH ENTERED THE ALLEY. OFFICERS OBSERVED A SIGN WHICH WAS CLEARLY DISPLAYED "NO TRESPASSING POLICE TAKE NOTICE." AT THIS POINT OFFICERS					
IF PROCESS IS ORDERED, THIS APPLICATION MUST BE PRESENTED AT ONCE TO PLEADING CLERK AT ROOM 1105.					
<b>NAMES OF WITNESSES</b>		<b>Recog. to S.C.</b>	<b>Give place of business or employment, if in Boston, otherwise, residence</b>		<b>ST. NO.</b>
SGT. DET. MAFFEO, ROBERT			Sudbury St., A-1 Drug Control Unit, Boston, MA, 02114		40
P.O. CHU, PETER			A-1 D.C.U., MA		
P.O. WILLIAMSON, CARLTON			A-1 D.C.U., MA		
State if defendant is arrested: Yes		Date of Arrest: 01/07/2005			
FOR ADDITIONAL REMARKS OR WITNESSES-USE REVERSE OF ORIGINAL AND CHECK HERE <input checked="" type="checkbox"/>					

<b>APPLICATION FOR COMPLAINT</b>		<b>NUMBER</b>		Trial Court of Massachusetts Boston Municipal Court Department Boston Municipal Court Criminal Division, 11th Floor room 1105 90 Devonshire Street Boston, MA 02109	
<input checked="" type="checkbox"/> <b>ARREST</b> <input type="checkbox"/> <b>HEARING</b> <input type="checkbox"/> <b>SUMMONS</b> <input type="checkbox"/> <b>WARRANT</b>		The within named complainant requests that a complaint issue against the within named defendant, charging said defendant with the offense(s) listed below.			
<b>DATE OF APPLICATION</b> 01/07/2005	<b>DATE OF OFFENSE</b> 01/07/2005	<b>PLACE OF OFFENSE</b> 61 Beach St			
<b>NAME, ADDRESS AND ZIP CODE OF COMPLAINANT</b>					
MAFFEO, ROBERT / 00659					
<b>NAME, ADDRESS AND ZIP CODE OF DEFENDANT</b>					
CREACH, YASIR					
<b>OTHER REMARKS:</b> CHU, PIRRELLO AND WILLIAMSON HAD DECIDED TO ENTER THE ALLEY TO CONDUCT AN INQUIRY. AS THE OFFICERS APPROACHED THEM, THEY OBSERVED CREACH SMOKING FROM A GLASS TUBE. OFFICERS ANNOUNCED THEIR OFFICE AND OFFICER CHU REMOVED THE GLASS TUBE FROM CREACH'S HAND WHICH WAS MODIFIED INTO A CRACK PIPE. OFFICER CHU RECOVERED 1 PIECE OF BEIGE ROCK BELIEVED TO BE CRACK COCAINE FROM THE PIPE. SIMULTANEOUSLY OFFICER WILLIAMSON OBSERVED JOHNSON DISCARD AN ITEM TO THE GROUND. OFFICER WILLIAMSON RECOVERED THAT ITEM WHICH WAS 1 P/B OF BEIGE ROCK BELIEVED TO BE CRACK COCAINE. CREACH AND JOHNSON WERE PLACED UNDER ARREST. JOHNSON INFORMED OFFICER WILLIAMSON HE HAD ONE MORE IN HIS LEFT POCKET. OFFICER WILLIAMSON RECOVERED 1 MORE P/B OF BEIGE ROCK BELIEVED TO BE CRACK COCAINE. THE EVIDENCE WAS TURNED OVER TO SGT DET MAFFEO AND THE DRUGS WERE LOGGED INTO BOOK #46 PAGE #43.					
 SIGNATURE OF COMPLAINANT					
IF PROCESS IS ORDERED, THIS APPLICATION MUST BE PRESENTED AT ONCE TO PLEADING CLERK AT ROOM 1105.					
<b>NAMES OF WITNESSES</b>		<b>Recog. to S.C.</b>	<b>Give place of business or employment, if in Boston, otherwise, residence</b>		<b>ST. NO.</b>
P.O. PIRRELLO, RONALD			A-1 D.C.U., MA		
DET. LYNCH, TIMOTHY			A-1 D.C.U., MA		
FOR ADDITIONAL REMARKS OR WITNESSES-USE REVERSE OF ORIGINAL AND CHECK HERE					



**Boston Police Department  
Arrest Booking Form**

Report Date: 01/07/2005 21:09  
Booking Status: Verified  
Printed By: Lynch, Timothy E

District: 01 UCR Code: 1849

Court of Appearance: Boston Municipal Court

Master Name: CREACH, Yasir

Age: 23

Location of Arrest: 61 Beach St. Boston

Booking Name: CREACH, Yasir

Alias: CREACH, Yasir Santiago

Address:



**Charges:**

Possession of Class B. Drugs (94C-34)

Trespassing (266-120)

Booking #: 05-00058-10  
Booking Date: 01/07/2005 20:41

Incident #: 050011770  
Arrest Date: 01/07/2005 19:45

CR Number: 003685-99  
RA Number:

Sex: Male	Height: 5'11"	Occupation: Unemployed
Race: White Hispanic	Weight: 210 lbs	Employer/School:
Date of Birth:	Build: Medium	Emp/School Addr: MA US
Place of Birth:	Eyes Color: Hazel	Social Sec. Number:
Marital Status: Single	Hair Color: Dk Brown	Operators License:
Mother's Name:	Complexion: Medium	State: MA
Father's Name:		

Phone Used: Yes	Scars/Marks/Tattoos:
Examined at Hospital: No	Clothing Desc: red sweatshirt, jeans, blue shirt
Breathalyzer Used: No	
Examined by EMS: No	

Arresting Officer: BPD 06659	Mallico, Robert	Cell Number: 2
Booking Officer: BPD 08646	Parolin, Barbara E.	Partner's #: 10605
Informed of Rights: BPD 08646	Parolin, Barbara E.	Unit #: V955
Placed in Cell By: BPD 08646	Parolin, Barbara E.	Trans Unit #: A202F
Searched By: BPD 10605	Williamson, Carlton A	

Cautions:	Booking Comments:	Visible Injuries: none
-----------	-------------------	---------------------------

Person Notified:	<b>JUVENILE INFORMATION</b>	Phone:
Address:	Relationship:	
Notified By:	Juv. Prob. Officer:	
		Notified Date/Time:

Bail Set By:	I Selected the Bail Comm.
Bailed By:	
Amount:	

BOP Check:	BPD	08646	Parolin, Barbara E.
Suicide Check:			
BOP Warrant:			
BOP Court:			

<b>CRIMINAL COMPLAINT</b>		DOCKET NUMBER 0501CR000142	Trial Court of Massachusetts Boston Municipal Court Department
DEFENDANT NAME YASIR CREACH		PAGE 1	

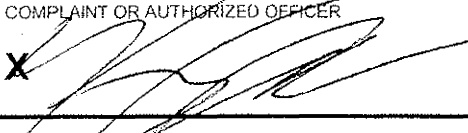

DEFENDANT NAME AND ADDRESS YASIR CREACH				TO ANY JUSTICE OR CLERK-MAGISTRATE OF THE BOSTON MUNICIPAL COURT DEPARTMENT  The within named and undersigned complainant, on behalf of the Commonwealth, on oath complains that on the date and at the location stated herein the defendant did commit the offense(s) listed below in the City of Boston and within the judicial district of the Boston Municipal Court Department.  BOSTON MUNICIPAL COURT CRIMINAL DIVISION 11 <sup>TH</sup> FLOOR, ROOM 1105 90 DEVONSHIRE STREET BOSTON, MA 02109
BIRTH DATE	GENDER MALE	RACE WHITE	HEIGHT 5'11"	
POE NUMBER	WEIGHT 210	EYES HAZEL	HAIR BROWN	
POLICE DEPARTMENT BOSTON P.D. AREA A-1		OFFICER ID 06659	CC NUMBER 050011770	
COMPLAINT DATE 01/10/2005		COMPLAINANT ROBERT MAFFEO		
OFFENSE DATE 01/07/2005		PLACE OF OFFENSE 61 BEACH ST		

1	266:120	TRESPASS C266 S120
---	---------	--------------------

DID WITHOUT RIGHT ENTER OR REMAIN IN OR UPON THE DWELLING HOUSE, BUILDING, BOAT, IMPROVED OR ENCLOSED LAND, WHARF OR PIER OF ANOTHER, AFTER HAVING BEEN FORBIDDEN TO DO SO BY THE PERSON WHO HAD THE LAWFUL CONTROL OF SUCH PREMISES, EITHER DIRECTLY OR BY NOTICE POSTED THEREON, OR IN VIOLATION OF A COURT ORDER PURSUANT TO G.L. C.208, S.34B OR G.L. C.209A, S.S. 3-4, IN VIOLATION OF G.L. C.266, S.120. (PENALTY: NOT MORE THAN 30 DAYS; OR NOT MORE THAN \$100; OR BOTH; G.L. C.90, S.24A REQUIRES THAT ANY CONVICTION INVOLVING THE USE OF A MOTOR VEHICLE MUST BE REPORTED TO THE REGISTRAR OF MOTOR VEHICLES.)

2	094C:034:C	DRUG, POSSESS CLASS B C94C S34
---	------------	--------------------------------

NOT BEING AUTHORIZED BY LAW, DID KNOWINGLY OR INTENTIONALLY POSSESS A CONTROLLED SUBSTANCE IN CLASS B OF G.L. C.94C, S.31, TO WIT: "CRACK" COCAINE, IN VIOLATION OF G.L. C.94C, S.34. (PENALTY: IMPRISONMENT NOT MORE THAN 1 YEAR; OR NOT MORE THAN \$1000; OR BOTH.)

COMPLAINT OR AUTHORIZED OFFICER 	SWORN TO BEFORE CLERK-MAGISTRATE/ASST. CLERK 	ON (DATE) 1/10/05	ADDITIONAL COUNTS ATTACHED
CHIEF JUSTICE Hon. Charles R. Johnson	COURT ADDRESS BOSTON MUNICIPAL COURT CRIMINAL DIVISION 11TH FLOOR, ROOM 1105, 90 DEVONSHIRE STREET, BOSTON, MA 02109		



BOSTON POLICE  
INCIDENT REPORT

ORIGINAL IN SUPPLEMENTARY □

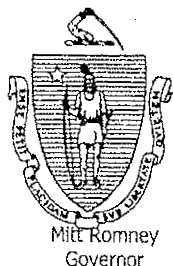
[illegible]

05:14 PM

JOSEPH V. MAFEO

*5-14-17*

06-50

Mitt Romney  
Governor

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute, 305 South Street  
Boston, MA 02130  
617-983-6622

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Christine Ferguson  
Commissioner

DATE RECEIVED: 01/11/2005

DATE ANALYZED: 01/28/2005

NO. 694147

I hereby certify that the LOOSE SUBSTANCE

Contained in 1 plastic bag

MARKED: 694147

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

The LOOSE SUBSTANCE was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.


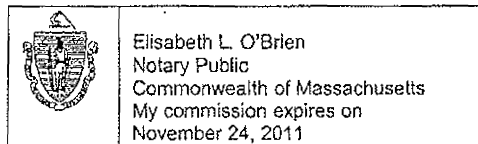
NET WEIGHT: 0.03 grams

DEFENDANT: CREACH, YASIR &amp; JOHNSON, DAVID

ASSISTANT ANALYSTS

  
Daniela Frasca  
Annie Dookhan

On this 2<sup>nd</sup> day of February 2005, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.

  
Elisabeth L. O'Brien, NOTARY PUBLIC

My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute, 305 South Street  
Boston, MA 02130  
617-983-6622

Kerry Healey, Lt. Governor

Ronald Preston, Secretary

Christine Ferguson  
Commissioner

DATE RECEIVED: 01/11/2005

DATE ANALYZED: 01/28/2005

NO. 694148

I hereby certify that the substance

Contained in 2 plastic bags

MARKED: 694148

Submitted by P.O. WM. DONNELLY of the BOSTON POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

2 similar items were received and 1 was randomly selected  
and analyzed.

NET WEIGHT: 0.12 grams (analyzed item only)

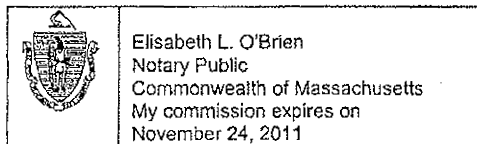
DEFENDANT: CREACH, YASIR & JOHNSON, DAVID

ASSISTANT ANALYSTS

*[Signature]*  
Daniela Frasca

*[Signature]*  
Annie Dookhan

On this 2<sup>nd</sup> day of February 2005, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



*[Signature]*  
Elisabeth L. O'Brien, NOTARY PUBLIC

My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

TOTAL P.03

NOTICE OF ASSIGNMENT OF COUNSEL		ASSIGNMENT NUMBER <b>C4007244-3</b>	COMMONWEALTH OF MASSACHUSETTS	
DATE OF ASSIGNMENT <b>2.24.05</b>	NAME OF ASSIGNING JUDGE <b>MEAGHER</b>		COURT DIVISION <b>#559</b> <b>BOSTON MUNICIPAL COURT</b> <b>CRIMINAL DIVISION</b> <b>1108 JOHN W. MCCORMACK POST</b> <b>OFFICE &amp; COURTHOUSE</b> <b>20 DEVONSHIRE STREET</b> <b>BOSTON, MA 02109</b>	
NAME OF PERSON FOR WHOM COUNSEL ASSIGNED <b>YASIR CRASH</b>			<input type="checkbox"/> JURY SESSION (Check Here)	
<input type="checkbox"/> Juvenile (J) <input type="checkbox"/> Adult (A)		Language if not English _____		
DOCKET NO.	CRIMINAL CASES—ENTER OFFENSE CODE OR CHAPTER & SECTION WITH CHARGE			
A <b>0501CR</b>	OFFENSE CODE	CHAPTER	SECTION	CHARGE
B <b>142</b>		<b>266</b>	<b>120</b>	<b>INAPPASS</b>
C		<b>94C</b>	<b>31</b>	<b>POSS CIB</b>
D				
E				
F				
NEXT COURT DATE <b>3/23/05</b>		INCARCERATION STATUS		NON-CRIMINAL CASES
FOR: <input type="checkbox"/> Bench or Jury Trial (T) <input type="checkbox"/> Probable Cause (C)		<input type="checkbox"/> Released <input checked="" type="checkbox"/> Not Released <input type="checkbox"/> Bail \$ <b>250</b> No Bail <input type="checkbox"/> Serving Other Sentence <input type="checkbox"/> Committed <input type="checkbox"/> Not Applicable		<input type="checkbox"/> 1001 c.119, §23(C), 29 <input type="checkbox"/> 1002 c.210, §3/DPW v.JKB <input type="checkbox"/> 1003 Civil Commit c.123, §7, 8 <input type="checkbox"/> 1017 Writ of Apprehension c.123, §12(a) <input type="checkbox"/> 1018 Commitment of Alcoholics c.123, §35 <input type="checkbox"/> 1019 Commitment of Mentally Retarded Persons c.201, §6A <input type="checkbox"/> 1004 Commitment Review <input type="checkbox"/> 1005 c.112, §12S <input type="checkbox"/> 1026 Commitment Appeal c.123, §9(a) <input type="checkbox"/> 1007 SDP Review (c.123A, §9)
				<input type="checkbox"/> 1008 CHINS (c.119, §39F) <input type="checkbox"/> 1009 Rogers <input type="checkbox"/> 1010 Spring/Saikewicz <input type="checkbox"/> 1011 Probate Crim. Contempt <input type="checkbox"/> 1012 Housing Contempt <input type="checkbox"/> 1013 Foster Care Review <input type="checkbox"/> 1014 Elderly Abuse <input type="checkbox"/> 1015 c.201, §5, 14 Guardianship <input type="checkbox"/> 1016 C&P (c.119, §24, 29) <input type="checkbox"/> 1020 Disabled Persons (c.19C, §7) Petition for Protective Services
INDIGENCY DETERMINATION		THIS FORM IS NOT FOR GUARDIAN AD LITEM ASSIGNMENTS		
The court has found the above-named person <input type="checkbox"/> Indigent or <input type="checkbox"/> Indigent but able to contribute \$ _____		POST-TRIAL CRIMINAL CASES ONLY PURPOSE OF ASSIGNMENT		
The attorney or organization listed below is assigned to represent this person in this action.		<input type="checkbox"/> Appeals Court or SJC (A) <input type="checkbox"/> Revise and Revoke (R) <input type="checkbox"/> Sentence Appeal (S) <input type="checkbox"/> New Trial Motion (N) <input type="checkbox"/> Probation Surrender (P) <input type="checkbox"/> Other (O)		
CHECK ONE OF THE FOLLOWING:				
<input type="checkbox"/> Public Defender Division Local Office # <b>11</b> (See reverse side for address and telephone number.)		<input checked="" type="checkbox"/> Private Counsel Attorney PLEASE PRINT <b>1652 NATHAN</b> REQUIRED NAME FIRST MIDDLE LAST <b>1770 Mass Ave #553</b> STREET <b>Cambridge Ma 02140</b> CITY STATE <b>MA</b> ZIP <b>02140</b> TELEPHONE <b>617 354 7160</b> CRIMINAL CASE INFORMATION CONTACT: BAR ADVOCATE PROGRAM NO. <b>3</b> (SEE REVERSE SIDE FOR ADDRESS AND TELEPHONE NUMBER.)		
<input type="checkbox"/> Student Attorney under Rule 3:03 Name of Program _____		AUTHORIZED SIGNATURE _____ PRINT NAME _____		
<input type="checkbox"/> Attorney to be named by CPCS for Appeals Court/SJC/Murder Cases/ Rule 30 Motions/SDP Send to: CPCS 44 Bromfield Street, Boston, MA 02108				
<input type="checkbox"/> Assignment For Purpose of Bail Hearing, Bail Review or Arraignment Only				
INSTRUCTIONS TO THE COURT				
1. Forward white copy to Committee for Public Counsel Services, 44 Bromfield Street, Boston, MA 02108 2. Retain green copy for court file. 3. Remaining copies are color coded as follows: pink—client, blue—bar advocate program, goldenrod—attorney.				

**BostonPolice**

CC # 060063159

BOOK # 118

PAGE # 311

②

DRUG RECEIPT

District/Unit BOSTON Police Dept. - YVSF Destruction # \_\_\_\_\_

Name & Rank of Submitting Officer \_\_\_\_\_ ID# [Signature]

DEFENDANT'S NAME	ADDRESS # STREET	CITY	STATE
YASIR CREACH			

DRUGS-IMPLEMENTS-AND/OR PARAPHERNALIA	GROSS QUANTITY	ANALYSIS NUMBER
WHITE POWDER (COCAINE) <del>INSIDE</del> INSIDE ONE DOLLAR BILL	1 PK 4.98g	764921

Received by [Signature] ID# 2-8-06

BPD FORM 1753

DRUG CONTROL UNIT

06-0565  
5/04



# BOSTON MUNICIPAL COURT DEPARTMENT COMMONWEALTH OF MASSACHUSETTS

OFFICE OF THE CLERK/MAGISTRATE FOR  
CRIMINAL BUSINESS

1105 U.S. POST OFFICE AND COURTHOUSE  
90 DEVONSHIRE STREET, BOSTON, MASSACHUSETTS 02109  
TELEPHONE # (617) 788-8600  
FAX # (617) 788-8465

Daniel J. Hogan  
Clerk Magistrate

## TENDER OF PLEA OR ADMISSION TO SUFFICIENT FACTS WAIVER OF RIGHTS

Defendant: 43517 [unclear] Docket Number: 0501CR17111

### SECTION I TENDER OF PLEA

Defendant in this case hereby tenders the following: ☒ PLEA OF GUILTY ☐ ADMISSION TO FACTS SUFFICIENT  
OR A FINDING OF GUILTY conditioned on the dispositional terms indicated below. (Include all proposed terms: guilty finding, finding of  
sufficient facts, continued without finding, dismissal, fine, costs, probation period and supervision terms, restitution amount including the  
identification of the recipient of restitution, and any sentence of incarceration, split sentence or suspended sentence, etc. Number each count and  
specify terms for each count separately.)

#### DEFENDANT'S DISPOSITIONAL TERMS

(Check "yes" if Prosecution agrees - Check "no" if Prosecution disagrees)

COUNT A: 1st Count  
Barney [unclear]  
4/20/08 YES ☒ NO ☐

COUNT B: 2nd Count  
Barney [unclear]  
4/20/08 YES ☒ NO ☐

COUNT C: 3rd Count  
Barney [unclear]  
4/20/08 YES ☐ NO ☐

#### PROSECUTOR'S RECOMMENDATION

(Required if prosecutor disagrees with terms)

[Signature]  
Signature of Defense Counsel

4/20/08  
Date

[Signature]  
Signature of Prosecutor

4/20/08  
Date

### SECTION II PLEA OR ADMISSION ACCEPTED BY THE COURT

The Court ☒ ACCEPTS the tendered Plea or Admission on the defendant's terms set forth in Section I, and will impose sentence in  
accordance with said terms, subject to submission of defendant's written WAIVER (see Section IV on reverse of this form), completion of the  
required oral COLLOQUY, a determination that there is a FACTUAL BASIS for the Plea or Admission, and notice of ALIEN RIGHTS.

### SECTION III PLEA OR ADMISSION REJECTED BY THE COURT

The Court ☐ REJECTS the defendant's dispositional terms set forth above and, in accordance with Mass. R. Crim. P. 12 (c)(6) has set  
forth to the defendant the dispositional terms it would find acceptable, which are:

### DEFENDANT'S DECISION IF COURT REJECTS TENDERED PLEA OR ADMISSION:

Defendant WITHDRAWS the tendered Plea or Admission.

Defendant ACCEPTS terms set forth by the Court.

[Signature]  
Signature of Defense Counsel (if rejection decision made)

4/20/08  
Date

[Signature]  
Judge

4/20/08  
Date

SECTION IV DEFENDANT'S WAIVER OF RIGHTS (G.L. c.263, s.6)  
ALIEN RIGHTS NOTICE (G.L. C.278, S.29)

I, the undersigned defendant understand and acknowledge that I am voluntarily giving up my right to be tried by a jury or a judge without jury on these charges.

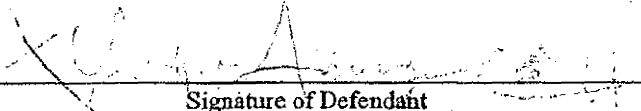
I have discussed my Constitutional and other rights with my attorney. I understand that the jury would consist of six jurors chosen at random from the community, and that I could participate in selecting those jurors, who would determine unanimously whether I am guilty or not guilty. I understand that by entering my plea of guilty or admission, I will also be giving up my right to confront, cross examine, and compel the attendance of witnesses; to present evidence in my defense; to remain silent and to refuse to testify or provide evidence against myself by asserting my privilege against self-incrimination, all with the assistance of my defense attorney; and to be presumed innocent until proven guilty by the prosecution beyond a reasonable doubt.

I am aware of the nature and elements of the charge or charges to which I am entering my guilty plea or admission. I am also aware of the nature and range of the possible sentence or sentences.

My guilty plea or admission to sufficient facts is not the result of force or threats. It is not the result of assurances or promises. I have decided to plead guilty, or admit to sufficient facts, knowingly, voluntarily and freely.

I am not under the influence of any drug, medication, liquor or other substance that would impair my ability to understand fully the constitutional and statutory rights that I am waiving.

I understand that if I am not a citizen of the United States, conviction of this offense or admission to sufficient facts to warrant a finding guilty of this offense, may have the consequences of deportation, exclusion from admission to the United States, or denial of naturalization pursuant to the laws of the United States.

  
Signature of Defendant

  
Date

SECTION V DEFENSE COUNSEL'S CERTIFICATE (G.L. c.218, s.26a)

As required by G.L. c.218 s.26a, I certify that as legal counsel to the defendant in this case, I have explained to the defendant the above-stated provisions of law regarding the defendant's waiver of jury trial and other rights so as to enable the defendant to tender a plea of guilty or admission knowingly, intelligently and voluntarily.

  
Signature of Defense Counsel

  
B.O. No.

  
Date

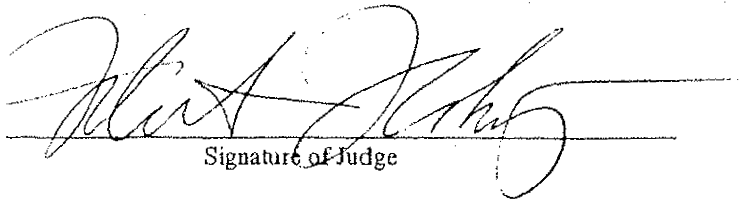
SECTION VI JUDGE'S CERTIFICATION

I, THE UNDERSIGNED Justice of the Municipal Court of Boston, addressed the defendant directly in open court. I made appropriate inquiry into the education and background of the defendant and am satisfied that the defendant fully understands all of the rights as set forth in Section IV of the form, and

that the defendant is not under the influence of any drug, medication, liquor or other substance that would impair his or her ability to fully understand those rights. I find, after a colloquy with the defendant, that the defendant has knowingly, intelligently and voluntarily waived all of these rights as explained during these proceedings and set forth in this form.

After a hearing, I have found a factual basis for the charge(s) to which the defendant is pleading guilty or admitting to sufficient facts and have found that these facts as related by the prosecution and admitted to by the defendant would support a conviction on the charges to which plea or admission is made.

I further certify that the defendant was informed and advised that if the defendant is not a citizen of the United States, a conviction of the offense with which the defendant is charged may have the consequences of deportation, exclusion from admission to the United States, or denial of naturalization, pursuant to the laws of the United States.

  
Signature of Judge

  
Date



# **PETITIONER MIGUEL CUEVAS**

**Commonwealth of Massachusetts  
ESSEX SUPERIOR COURT  
Case Summary  
Criminal Docket**

**Commonwealth v Cuevas, Miguel**

Details for Docket: ESCR2007-01535

**Case Information**

<b>Docket Number:</b>	ESCR2007-01535	<b>Caption:</b>	Commonwealth v Cuevas, Miguel
<b>Entry Date:</b>	10/05/2007	<b>Case Status:</b>	CtRm D - 4th Floor - 56 Federal St.
<b>Status Date:</b>	10/18/2012	<b>Session:</b>	Disp (post sentence -Drug Lab)
<b>Lead Case:</b>	NA	<b>Deadline Status:</b>	Active since
<b>Trial Deadline:</b>	08/04/2008	<b>Jury Trial:</b>	NO

**Parties Involved**

3 Parties Involved in Docket: ESCR2007-01535

<b>Party Involved:</b>		<b>Role:</b>	Defendant
<b>Last Name:</b>	Cuevas	<b>First Name:</b>	Miguel
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Plaintiff
<b>Last Name:</b>	Commonwealth	<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Surety
<b>Last Name:</b>		<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

## Attorneys Involved

9 Attorneys Involved for Docket: ESCR2007-01535

**Attorney Involved:**  
**Last Name:** Buszuwski  
**Address:** 21 McGrath Highway  
**City:** Somerville  
**Zip Code:** 02143  
**Telephone:** 617-623-0591  
**Fascimile:** 617-623-0936

**Firm Name:** COMM09  
**First Name:** Julie  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Hopwood  
**Address:** Ten Federal Street  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-745-6610  
**Fascimile:** 978-741-4971

**Firm Name:** ESSE02  
**First Name:** Karen  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:** 5078  
**Representing:** Commonwealth, (Plaintiff)

**Attorney Involved:**  
**Last Name:** McGuire  
**Address:** 10 Federal Street  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-740-6633  
**Fascimile:** 978-740-6644

**Firm Name:** ANDR12  
**First Name:** Lawrence J  
**Address:** Suite 420  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Zerola  
**Address:** 101 Tremont Street  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:** 617-654-9300  
**Fascimile:**

**Firm Name:**  
**First Name:** Gary  
**Address:** Suite 1010  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Whitehill  
**Address:** 1 Salem Green  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-825-2020

**Firm Name:** MA150  
**First Name:** Rebecca E  
**Address:** Suite 408  
**State:** MA  
**Zip Ext:** 3724  
**Tel Ext:**

**Fascimile:** 978-741-8567 **Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Cuipyo  
**Address:** One Congress Street  
**City:** Boston  
**Zip Code:** 02114  
**Telephone:** 617-209-5500  
**Fascimile:** 617-523-0354  
**Firm Name:** MA130  
**First Name:** Donna M  
**Address:** Suite 102  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Strasnick  
**Address:** 10 Federal Street  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-745-6610  
**Fascimile:** 978-741-4971  
**Firm Name:** ESSE02  
**First Name:** Jessica M  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:** 5082  
**Representing:** Commonwealth, (Plaintiff)

**Attorney Involved:**  
**Last Name:** Caplan  
**Address:** 44 Bromfield Street  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:** 617-209-5500  
**Fascimile:** 617-523-0354  
**Firm Name:** MA130  
**First Name:** Nancy J  
**Address:** #2  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Cuevas, Miguel (Defendant)

**Attorney Involved:**  
**Last Name:** Logan  
**Address:** 10 Federal Street  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-745-6610  
**Fascimile:** 978-741-4971  
**Firm Name:** ESSE02  
**First Name:** Ashlee  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

---

## Calendar Events

---

31 Calendar Events for Docket: ESCR2007-01535

No.	Event Date:	Event Time:	Calendar Event:	SES:	Event Status:
1	11/09/2007	09:00	Arraignment	1	Event not held--joint request
2	11/28/2007	09:00	Arraignment	1	Event held as scheduled

3	01/14/2008	09:00	Conference: Pre-Trial	1	Defendant did not appear/default
4	01/28/2008	09:00	Conference: Status Review	1	Event held as scheduled
5	02/28/2008	09:00	Hearing: Fugitive/ Bail Forfeit	1	Event held as scheduled
6	05/19/2008	09:00	Conference: Status Review	1	Event held as scheduled
7	06/04/2008	09:00	Hearing: Bail	1	Event not held--joint request
8	06/17/2008	09:00	Hearing: Bail	1	Event not held--joint request
9	07/15/2008	09:00	Hearing: Appointment Counsel	1	Event held as scheduled
10	08/04/2008	09:00	Hearing: Discovery Motions	1	Event held as scheduled
11	09/03/2008	09:00	Hearing: Compliance	1	Event held as scheduled
12	09/24/2008	09:00	Hearing: Compliance	1	Event not held--joint request
13	10/15/2008	09:00	Hearing: Compliance	1	Event not held--joint request
14	11/04/2008	09:00	Hearing: Compliance	1	Event not held--joint request
15	11/18/2008	09:00	Hearing: Filing of Motion to Suppress	1	Event not held--joint request
16	11/25/2008	09:00	Status: Review by Session	1	Event held as scheduled
17	12/09/2008	09:00	Hearing: Evidentiary-suppression	1	Event not held--joint request
18	01/30/2009	09:00	Hearing: Evidentiary-suppression	1	Event moved to another session
19	01/30/2009	09:00	Hearing: Plea Change	2	Event held as scheduled
20	11/07/2012	09:30	Drug Lab: Hearing Stay Sentence	2	Event rescheduled by court prior to date
21	11/09/2012	09:30	Drug Lab: Hearing Stay Sentence	2	Event not held--req of Defendant
22	12/10/2012	10:00	Drug Lab: Status	2	Event held as scheduled
23	02/05/2013	14:00	Drug Lab: Status	4	Event held as scheduled
24	03/14/2013	10:00	Drug Lab: Status	4	Event held as scheduled
25	04/29/2013	10:00	Drug Lab: Status	4	Event held as scheduled
26	06/13/2013	10:00	Drug Lab: Status	4	Event held as scheduled
27	08/08/2013	10:00	Drug Lab: Status	4	Event held as scheduled
28	10/03/2013	10:00	Drug Lab: Status	4	Event held as scheduled
29	11/14/2013	10:00	Drug Lab: Discovery Motions	4	Event held as scheduled
30	12/19/2013	10:00	Drug Lab: Status	4	Event held as scheduled
31	02/13/2014	09:00	Drug Lab: Status	4	

## Full Docket Entries

94 Docket Entries for Docket: ESCR2007-01535

Entry Date:	Paper No:	Docket Entry:
10/05/2007	1	Indictment returned
10/10/2007	2	Case Tracking scheduling order ([case:judge]) mailed [date:date]
10/22/2007		Summons for arraignment issued ret 10/22/07
11/09/2007		Summons for arraignment issued ret 11/9/07
11/28/2007		Deft arraigned before Court
11/28/2007		Appearance of Commonwealth's Atty: Karen Hopwood
11/28/2007		Committee for Public Counsel Services appointed, pursuant to Rule 53
11/28/2007	3	Appearance of Deft's Atty: Julie Buszuwski

11/28/2007		Deft waives reading of indictment
11/28/2007		RE Offense 1:Plea of not guilty
11/28/2007		RE Offense 2:Plea of not guilty
11/28/2007		RE Offense 3:Plea of not guilty
11/28/2007		RE Offense 4:Plea of not guilty
11/28/2007		Legal counsel fee assessed in the amount of \$150.00 (David Lowy, Justice)
11/28/2007	4	Bail set: \$40,000.00/\$4,000.00 Surety/Cash. (Rup, J.)
11/28/2007	5	Salem District Court Notified Bail.
11/28/2007		Pre-trial hearing conditions of probation included; 1) Continue living at 11 1/2 Rice Street Salem. 2) 3X week report to Salem probation in person. 3) No illegal drugs 4) Random screens 5) Do not apply for passport.
11/28/2007		Assigned to Track "A", see scheduling order
12/17/2007		VTP warrant issued
01/14/2008		VTP warrant issued
01/15/2008	6	Cash Bail Received from Salem Superior Court (\$4,000)
01/28/2008	7	Order of notice to show cause forfeiture of bail sent to Mary Peguero
02/28/2008		No One Appears Bail ordered forfeited K. Taylor Notified ([Kern, J.)
05/19/2008	8	VTP warrant recalled notice of recall
05/19/2008	9	Bail: Defendant held without bail (Lowy, J)
06/20/2008	10	Motion for Funds for Spanish Speaking Investigator Allowed (Lowy, J.)
07/15/2008	11	Committee for Public Counsel Services appointed, pursuant to Rule 53
07/15/2008	11	Larry Maguire
08/04/2008		Tracking deadlines Active since return date
08/04/2008	12	Case Tracking scheduling order (Howard Whitehead, Justice) mailed
08/04/2008	12	8/4/2008
08/04/2008	13	Motion for automatic discovery: disclosure of identification
08/04/2008	13	procedures filed in court
08/04/2008	14	Motion for discovery concerning laboratory testing filed in court
08/04/2008	15	Motion for reports concerning chain of custody of evidence filed in court
08/04/2008	15	court
11/18/2008	16	Defendant's MOTION to suppress Identification
01/30/2009		RE Offense 1:Guilty plea (lesser offense) (Dist. of Cocaine)
01/30/2009		RE Offense 2:Guilty plea (lesser offense) (Dist. of Cocaine)
01/30/2009		RE Offense 3:Guilty plea (lesser offense) (Dist. of Cocaine)
01/30/2009		RE Offense 4:Guilty plea (lesser offense) (Dist. of Heroin)
01/30/2009	17	Waiver of defendants' rights
01/30/2009	18	Defendant sentenced to on indictment # ESCR2007-1535 001, Defendant
01/30/2009	18	sentenced to Four and One Half (4 1/2) years to Five (5) years
01/30/2009	18	committed to Massachusetts Correctional Institution, Cedar Junction.
01/30/2009	18	Defendant deemed to have 273 jail credit days. (David Lowy, Justice)
01/30/2009	19	Defendant sentenced to on indictment # ESCR2007-1535 002, Defendant
01/30/2009	19	sentenced to Four and One Half (4 1/2) years to Five (5) years
01/30/2009	19	concurrent with ESCR2007-1535 001, committed to Massachusetts
01/30/2009	19	Correctional Institution, Cedar Junction. Defendant deemed to have
01/30/2009	19	273 jail credit days. (David Lowy, Justice)

	20	Defendant sentenced to on indictment # ESCR2007-1535 003, Defendant
01/30/2009	20	sentenced to Four and One Half (4 1/2) years to Five (5) years
01/30/2009	20	concurrent with ESCR2007-1535 001, committed to Massachusetts
01/30/2009	20	Correctional Institution, Cedar Junction. Defendant deemed to have
01/30/2009	20	273 jail credit days. (David Lowy, Justice)
01/30/2009	21	Defendant sentenced to on indictment # ESCR2007-1535 004, Defendant
01/30/2009	21	sentenced to Four and One Half (4 1/2) years to Five (5) years
01/30/2009	21	concurrent with ESCR2007-1535 001, committed to Massachusetts
01/30/2009	21	Correctional Institution, Cedar Junction. Defendant deemed to have
01/30/2009	21	273 jail credit days. (David Lowy, Justice)
01/30/2009	22	Sentence stayed until 2/4/2009 (David Lowy, Justice)
01/30/2009	23	Victim-witness/Mandatory Drug Assessment fee assessed: \$90.00/\$150.00
01/30/2009	23	(David Lowy, Justice)
01/30/2009	24	Abstract sent to RMV
02/18/2009	25	Defendant files MOTION to revise and revoke sentence
04/27/2009	26	Deft files motion for jail credits and issuance of a corrected
04/27/2009	26	mittimus, Denied, proper credit was given. (Lowy, J.)
09/28/2012	27	Deft files motion to be declared indigent. (Copy to Lowy, J.)
10/18/2012	28	Defendant's Motion To Vacate Guilty Plea (Drug Lab)
10/18/2012	29	Defendant's Motion for Discovery (Drug Lab)
10/18/2012	30	Defendant's Motion to Stay Sentence (Drug Lab)
10/22/2012		MOTION (P#27, to be declared indigent.) allowed (David Lowy,
10/22/2012		Justice). Copies mailed 10/22/2012
10/22/2012		N.A.C. form forwarded to Boston.
11/09/2012		Appearance of Commonwealth's Atty: Jessica M Strasnick
11/09/2012		Appearance of Deft's Atty: Donna M Cuipyllo
11/09/2012	31	Commonwealth's Opposition to the Defendant's Motion to Stay Execution
11/09/2012	31	of Sentence Filed
11/09/2012		Motion Withdrawn by Counsel in Open Court (Lowy, J.) (Motion #29)
06/13/2013		Attorney Cirprolo reports that matter referred to CPCS drug lab unit
08/08/2013		Appearance of Deft's Atty: Nancy J Caplan
10/03/2013	32	MOTION by Deft: for Discovery RE: Examination - Testing of Alleged
10/03/2013	32	narcotics filed in open court and to be argued 11/14/13
12/19/2013		MOTION (P#32) After oral argument, the ADA (Ashlee Logan) is ordered
12/19/2013		to respond to this motion for discovery item by item, as to whether
12/19/2013		produced already, not available, newly ordered and soon available,
12/19/2013		not producable by law, etc. This written response is due to defense
12/19/2013		attorney by 2/13/14. (John Cratsley, Special Judicial Magistrate).
12/19/2013		Copies mailed 12/19/2013

---

## Charges

---

4 Charges for Docket: ESCR2007-01535

No.	Charge Description:	Indictment:	Status:
1	COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)		Guilty plea (lesser offense)
2	COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)		Guilty plea (lesser offense)

3  
4

COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
DRUG, DISTRIBUTE CLASS A, SUBSQ.OFF. c94C s32(b)

Guilty plea (lesser offense)  
Guilty plea (lesser offense)

---

© Copyright, Massachusetts Administrative Office of the Trial Court, 2000 - 2001.



COMMONWEALTH OF MASSACHUSETTS  
ESSEX COUNTY  
SUPERIOR CRIMINAL COURT

CASE INITIATION SHEET AND/OR REQUEST FOR WARRANT  
(CIRCLE WHICHEVER IS APPROPRIATE)

DOCKET #: ESCR2007-1535-001-004

DEFENDANT NAME: (Last) Cuevas (First) Miguel  
AKA(s):  
STREET ADDRESS:  
CITY, STATE, ZIP:  
SSN #: 020-66-2209 PCF #: DOB:  
SEX: Male RACE: HEIGHT: 5.11 WEIGHT: 200  
EYE COLOR: Brown HAIR COLOR: Black  
MOTHER'S MAIDEN NAME: FATHER'S NAME:  
OFFENSE: Distribution of Cocaine, 2nd or Subsequent  
CHAPTER/SECTION: 94C/32A DATE OF OFFENSE: 1/5/07, 1/8/07, 1/10/07  
PLACE OF OFFENSE: Salem  
POLICE DEPARTMENT: Salem  
ATTY FOR THE COMMONWEALTH: Karen Hopwood BBO #: 655885  
ATTY FOR THE DEFENDANT: BBO #:

WRITE IN THIS AREA ONLY IF WARRANT REQUESTED

TYPE OF WARRANT: INDICTMENT WARRANT ( ) DEFAULT WARRANT ( ) PROBATION  
WARRANT ( )

PERSON REQUESTING WARRANT: \_\_\_\_\_

POLICE DEPARTMENT: \_\_\_\_\_ DATE WARRANT ISSUED: \_\_\_\_\_

EXTRADITION LIMITS: NEW ENGLAND / NEW YORK  
\*\*\*\*\*TO BE FILLED BY CLERKS OFFICE\*\*\*\*\*

DATE WARRANT ENTERED: 12/17/07

WARRANT ENTERED BY: George Hodyson

WARRANT COMPUTER NO.: 0227CR001535

ktrask/grandjury/caseinitiationsheet

SEP. 18. 2007

3:01PM

DRUG ANALYSIS LAB

NO. 748

P. 3/5

DEVAL L. PATRICK  
GOVERNORTIMOTHY P. MURRAY  
LIEUTENANT GOVERNORJUDYANN BIGDY, MD  
SECRETARYJOHN AUERBACH  
COMMISSIONER

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622

DATE RECEIVED: 08/09/2007

DATE ANALYZED: 09/13/2007

NO. 821976

I hereby certify that the substance

Contained in 1 plastic bag

MARKED: 821976

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.53 grams

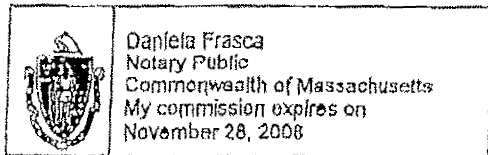
DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS

Annie Dookhan

Kate Corbett

On this day 14<sup>th</sup> day of September 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.

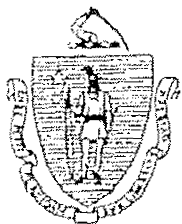


Daniela Frasca, NOTARY PUBLIC

My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the substance analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst and of the fact that he/she is such.



DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY,  
LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622

DATE RECEIVED: 08/09/2007  
DATE ANALYZED: 09/12/2007

NO. 821975

I hereby certify that the substance

Contained in 1 plastic bag

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

MARKED: 821975

Has been examined with the following results:

The substance was found to contain:

Heroin, (diacetylmorphine) as defined in Chapter 94 C, Controlled Substance Act, Section 31, Class A.

NET WEIGHT: 0.40 grams

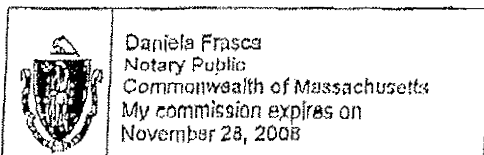
DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS

Annie Dookhan

Kate Corbett

On this day 14<sup>th</sup> day of September 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst.

SEP. 18. 2007 3:01PM

DRUG ANALYSIS LAB



The Commonwealth of Massachusetts  
 Executive Office of Health and Human Services  
 Department of Public Health  
 State Laboratory Institute, 305 South Street  
 Boston, MA 02130  
 617-983-6622

DEVAL L. PATRICK  
 GOVERNOR

TIMOTHY P. MURRAY  
 LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
 SECRETARY

JOHN AUERBACH  
 COMMISSIONER

DATE RECEIVED: 08/09/2007  
 DATE ANALYZED: 09/17/2007

NO. 821977

I hereby certify that the substance  
 Contained in 1 plastic bag  
 Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

MARKED: 821977

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
 Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.54 grams

DEFENDANT: CUEVAS, MIGUEL

*Annie Dookhan* *Kate Corbett*  
 ASSISTANT ANALYSTS Annie Dookhan Kate Corbett

On this September 18, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Elisabeth L. O'Brien  
 Notary Public  
 Commonwealth of Massachusetts  
 My commission expires on  
 November 24, 2011

*Elisabeth L. O'Brien*  
 Elisabeth L. O'Brien, NOTARY PUBLIC  
 My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the substance, and of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute, 305 South Street  
Boston, MA 02130  
617-983-6622

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN DIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

DATE RECEIVED: 06/09/2007  
DATE ANALYZED: 09/14/2007

NO. 821978

I hereby certify that the substance  
Contained in 1 plastic bag

MARKED: 821978

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

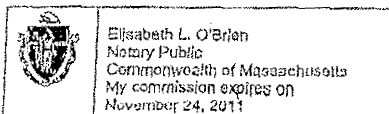
Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.15 grams

DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS: Annie Dookhan Kate Corbett

On this September 17, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Elisabeth L. O'Brien, NOTARY PUBLIC  
My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

No. of Pages: 23

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS

SUPERIOR COURT

ESSEX COUNTY

GRAND JURY

RE: MIGUEL CUEVAS

Presented By: KAREN H. HOPWOOD, ESQ.

Assistant District Attorney

---

Friday, October 5, 2007

Salem, Massachusetts

BRENDA M. NADEAU, PCR, P.O. BOX 916, GEORGETOWN, MA 01833

BMN

978-352-3314

BMN

\*\*\*\*\*COMPUTER AIDED TRANSCRIPTION\*\*\*\*\*

## I N D E X

## WITNESS

PAGE

STEVEN BONA

4, 21

## E X H I B I T S

## NUMBER

PAGE

1 Certificate of Analysis

17

2 Certificate of Analysis

18

3 Certificate of Analysis

18

4 Certificate of Analysis

18

1 MS. HOPWOOD: Good morning, ladies and  
2 gentlemen of the grand jury. My name is Karen Hopwood.  
3 I'm an Assistant District Attorney in Essex County. I  
4 have for your consideration, today, the following letters  
5 of presentment, which if voted upon favorably, would read  
6 as follows: That Miguel Cuevas, of Salem, in the County  
7 of Essex, on the fifth day of January, in the year 2007,  
8 at Salem, in the County of Essex, aforesaid, did  
9 unlawfully distribute cocaine, a derivative of coca  
10 leaves, a controlled substance in Class B of General Laws  
11 Chapter 94C, Section 31.

12 And that Miguel Cuevas, of Salem, in the County  
13 of Essex, on the eighth day of January, in the year 2007,  
14 at Salem, in the County of Essex, aforesaid, did  
15 unlawfully distribute cocaine, a derivative of coca  
16 leaves, a controlled substance in Class B of General Laws  
17 Chapter 94C, Section 31.

18 That Miguel Cuevas, of Salem, in the County of  
19 Essex, on the tenth day of January, in the year 2007, at  
20 Salem, in the County of Essex, aforesaid, did unlawfully  
21 distribute cocaine, a derivative of coca leaves, a  
22 controlled substance in Class B of General Laws Chapter  
23 94C, Section 31.

24 That Miguel Cuevas, of Salem, in the County of



1 Essex, on the tenth day of January, in the year 2007, at  
2 Salem, in the County of Essex, aforesaid, did unlawfully  
3 distribute a controlled substance in Class A of General  
4 Laws, Chapter 94C, Section 31; to wit, heroin.

5 I have one witness for you.

6  
7 STEVEN BONA, SWORN

8  
9 DIRECT EXAMINATION

10  
11 Q (By Ms. Hopwood) Could you please state your name and  
12 spell your name for the record?

13 A Steven Bona. Last name is -- B-O-N-A.

14 Q Who are you employed by?

15 A Salem Police Department.

16 Q For how long?

17 A Approximately, eighteen years.

18 Q And what is your current assignment?

19 A I'm a sergeant assigned to the detective division.

20 Q And what are your duties in the detective division?

21 A We have general duties. You know, we solve most of the  
22 major crimes, robberies, drugs, sexual assaults, et  
23 cetera.

24 Q And are you involved in narcotics investigations within

1 the City of Salem?

2 A Yes, I am.

3 Q Could you describe, briefly, what level of narcotics  
4 investigations you handle?

5 A Any range, from the street level, forty dollar bag deals,  
6 to kilos, you know, sellers, dealers, buyers.

7 Q Do you have an opportunity to work with confidential  
8 informants?

9 A Yes, we do.

10 Q Do you also have opportunities in which you participate  
11 in an undercover capacity?

12 A Yes.

13 Q Do you, yourself, do undercover work?

14 A Not any more.

15 Q And do you supervise or are you involved in the  
16 surveillance work that goes on?

17 A Yes.

18 Q Were you involved -- in the first week of January 2007,  
19 did you have an opportunity to speak to a confidential  
20 informant that was known to you, that told you about an  
21 Hispanic male named Miguel Cuevas, who was selling  
22 cocaine in and around the Point area of Salem?

23 A Yes, I did.

24 Q And did that person provide you the direct connect

1       number, the Nextel number for this person known as Miguel  
2       Cuevas?

3   A     Yes, he did.

4   Q     And did that person provide to you that purchases of  
5       cocaine could be made from this Miguel Cuevas?

6   A     Yes.

7   Q     Could you describe, where is the Point area in Salem?

8   A     It runs along Lafayette Street, from, roughly, Derby  
9       Street up to about Leach Street, that general area in  
10      there.

11   Q     Could you describe the relevance of the Point area?

12   A     It's a largely Hispanic area, a lot of quality of issues  
13      down there, including drug deals.

14   Q     And on January 5, 2007, did you have an opportunity to  
15      meet with Officer Rowe of the Essex County Sheriff's  
16      Department?

17   A     Yes, I did.

18   Q     And what is Officer Rowe's first name?

19   A     Kerry.

20   Q     And when you met with her, was it discussed her doing an  
21      undercover, what you call an undercover buy?

22   A     Yes, it was.

23   Q     Could you describe, just generally, what an undercover  
24      buy is?

1 A An undercover buy is a person comes in dressed just like  
2 a regular civilian, and would come in with the intent or  
3 purpose to buy drugs from an alleged drug dealer.

4 Q And it would be a law enforcement agent that's dressed in  
5 an undercover capacity?

6 A Yes.

7 Q And on January fifth, when you met with Officer Rowe, did  
8 you provide the direct connect number that you had been  
9 provided with from your confidential informant?

10 A Yes, I did.

11 Q Did she make an attempt to contact that direct connect  
12 number?

13 A Yes, she did.

14 Q Did a male party respond at the other end?

15 A Yes.

16 Q Did the male party give a name?

17 A He said his name was John.

18 Q Did Officer Rowe speak with the person who called himself  
19 John to make arrangements to purchase some cocaine?

20 A Yes, she did.

21 Q And did John tell Officer Rowe to meet him on Ward  
22 Street, around the corner from Lonnie?

23 A Yes, she did.

24 Q What is Lonnie?

- 1 A It's a bar on the corner of Lafayette and Ward Street,  
2 and it's -- the name has changed now, to Casablanca.
- 3 Q Was Officer Rowe given forty dollars of money that had  
4 been logged?
- 5 A Yes.
- 6 Q From the Salem Police Department?
- 7 A Yes.
- 8 Q And when -- once Officer Rowe went to leave, did you set  
9 up surveillance?
- 10 A Yes, yes, we did.
- 11 Q And were you and Detective Jennings involved in the  
12 surveillance?
- 13 A Yes, we were.
- 14 Q Could you describe what you observed?
- 15 A We dropped Officer Rowe off right in that general area,  
16 parked our car. We watched her walk down Ward Street.  
17 About three doors down, we started moving our car. We  
18 went around the block. We came up Ward Street just as  
19 she was meeting with an Hispanic male.
- 20 Q And was that just a few doors down from Lonnie's?
- 21 A Yes, it was.
- 22 Q And what did you observe at that point?
- 23 A We observed her meet with an Hispanic male, who we  
24 recognized him to be Miguel Cuevas. We saw a hand to

- 1 hand sale take place. We saw them part ways.
- 2 Q And then, did Officer Rowe meet back with you?
- 3 A Yes, she did.
- 4 Q And did she then provide you with a twist of a white
- 5 chunk powder that you believed to be cocaine?
- 6 A Yes, she did.
- 7 Q Did she tell you that the male who had gone by the name
- 8 of John, handed her that twist of suspected cocaine after
- 9 she had handed him the forty dollars of currency that you
- 10 had provided to her?
- 11 A Yes, she did.
- 12 Q And was that twist then placed into evidence?
- 13 A Yes, it was.
- 14 Q Did you then have an opportunity to show Officer Rowe a
- 15 photograph?
- 16 A Yes, I did.
- 17 Q And was she able to identify that photograph as the
- 18 person that she had purchased the suspected cocaine from?
- 19 A She said that was the person that just sold her the
- 20 cocaine.
- 21 Q And who was that a photograph of?
- 22 A Miguel Cuevas.
- 23 Q Date of birth 8/16/85?
- 24 A Correct, yes.

1 Q And on January 8, 2007, did Officer Rowe, and then also  
2 Officer Doyle, come to the Salem Police Department?

3 A Yes, they did.

4 Q Where is Officer Doyle from?

5 A She works for the Swampscott Police Department.

6 Q What is her name?

7 A Candace.

8 Q And did the two of them come to work in an undercover  
9 capacity?

10 A Yes, they did.

11 Q Could you describe what happened at that point?

12 A They reported to the police station, and Officer Rowe,  
13 again dialed that direct connect number, and the party  
14 now identified as Miguel Cuevas, asked -- you know, they  
15 arranged to purchase some cocaine. He asked them to meet  
16 them down by his street, at the corner of Bridge and Rice  
17 Street, where he would be waiting for them.

18 Q Did she recognize the voice as the same voice from the  
19 previous transaction?

20 A Yes, she did.

21 Q And did he specifically ask to come by my house to pick  
22 him up, so that they can go and get it?

23 A Yes.

24 Q So, did you, at that point, provide Officers Rowe and

- 1 Doyle a surveillance motor vehicle?
- 2 A Yes, we did.
- 3 Q And did you conduct surveillance of them?
- 4 A Yes, we did.
- 5 Q Along with Detective Jennings, again?
- 6 A Yes.
- 7 Q And could you describe what you observed?
- 8 A We observed them to pull up to the corner of Bridge and  
9 Rice Street. We saw that they pulled over to the side of  
10 the street. An Hispanic male got out, got in the  
11 vehicle.
- 12 Q Did you recognize that person?
- 13 A Yes, we did.
- 14 Q Was it the same person who Officer Rowe had met with  
15 before?
- 16 A Yes, it was.
- 17 Q And the same person that you recognized as being Miguel  
18 Cuevas?
- 19 A Correct, yes.
- 20 Q And he got into the vehicle that they were in?
- 21 A Yes.
- 22 Q Did they then drive?
- 23 A Yes. They drove down Bridge Street towards downtown  
24 Salem, taking a left onto Winter Street, down Hawthorne



1 Boulevard, onto Congress Street, and they took a right up  
2 Palmer Street.

3 Q Did they stop just past 22 Palmer Street?

4 A Yes, they did.

5 Q Did the person identified as Miguel Cuevas get out of the  
6 motor vehicle at that point?

7 A Yes, he did.

8 Q Walk onto Harrison Avenue and was out of sight?

9 A Yes.

10 Q Did he return about three minutes later?

11 A Yes, he did.

12 Q Get back into the motor vehicle?

13 A Yes.

14 Q And at that point -- the motor vehicle, driven by Officer  
15 Rowe and Officer Doyle?

16 A Yes.

17 Q And where did they go to at that point?

18 A They dropped him off, right by Lonnie's, again, at  
19 Lafayette and Ward Street, they dropped Miguel Cuevas  
20 off.

21 Q Did you then meet back with Officer Rowe and Officer  
22 Doyle at the Salem Police Station?

23 A Yes, we did.

24 Q Did Officer Rowe then provide to you another twist of

1        what was believed to be cocaine?

2    A    Yes.

3    Q    And was that placed into evidence?

4    A    Yes, it was.

5    Q    Did Officer Rowe also describe to you that Miguel Cuevas  
6        would not introduce them to the party that he had gotten  
7        it from, just told them to call when they needed  
8        something?

9    A    Yes, that's correct.

10   Q    And on January 10, 2007, did Officer Rowe and Officer  
11        Doyle, again, report to the Salem Police Department to  
12        continue their work in an undercover capacity?

13   A    Yes, they did.

14   Q    And related to this investigation?

15   A    Yes.

16   Q    And did they, at about seven p.m., call the direct  
17        connect number that they had and speak, again, to the  
18        party who had identified himself as John and they  
19        recognized to be Miguel Cuevas?

20   A    Yes, they did.

21   Q    Were arrangements made, again, for Officer Doyle and  
22        Officer Rowe to pick that person up at that same spot  
23        where they had picked him up on January eighth?

24   A    Yes.

1 Q Again, that was the corner of Rice and Bridge Street; is  
2 that correct?

3 A Yes.

4 Q Was surveillance, again, set up?

5 A Yes, it was.

6 Q And were they, again, provided with a motor vehicle?

7 A Yes.

8 Q Did they proceed to that area?

9 A Yes, they did.

10 Q Could you describe your observations of what you saw?

11 A We saw it go back to the same general area, again, pull  
12 up on Palmer Street, again, and pulled over to the curb.  
13 We then saw the Spanish male, Miguel Cuevas, get out of  
14 the vehicle and he walked into Theo's Market. He was in  
15 there for a real brief period of time, came back out, got  
16 back in the motor vehicle. The motor vehicle then went  
17 up Palmer Street to Lafayette, took a left onto  
18 Lafayette, left onto Levitt, and pulled over and parked  
19 onto Levitt Street.

20 Q And at that point, did Miguel Cuevas exit the vehicle?

21 A Yes, he did.

22 Q Strike that. Actually, just to back you up for a moment,  
23 when you saw a male get into the vehicle, did you  
24 recognize that male?

- 1 A The same male, Miguel Cuevas, got back in, yes.
- 2 Q Was that the same male that exited the vehicle and then  
3 returned to the vehicle after going into the market?
- 4 A Yes, it was.
- 5 Q And then, you saw that male get out of the vehicle,  
6 again?
- 7 A Yes. They had parked by 17 Levitt Street. He got out of  
8 the vehicle and walked up Levitt Street towards  
9 Lafayette.
- 10 Q Did Officers Rowe and Doyle then meet you, again, back at  
11 the Salem Police Station?
- 12 A Yes. After the male had taken a right onto Harrison  
13 Avenue, out of sight, again, a few minutes later, came  
14 back out of Harrison Avenue and got back into the motor  
15 vehicle, and then, he -- he got back into the motor  
16 vehicle. They drove him back to Bridge and Rice Street,  
17 again, where they dropped him off.
- 18 Q And at that point, did they, Officer Rowe and Officer  
19 Doyle, then meet you back at the Salem Police Station?
- 20 A Yes, they did.
- 21 Q When you arrived back there, did Officer Rowe provide you  
22 with one twist that contained a brown powder that you  
23 believed to be heroin?
- 24 A Correct, yes.

1 Q Did she also provide you with another twist of a white  
2 chunk powder that you believed to be cocaine?

3 A Yes, she did.

4 Q Did she provide to you that they had asked the male  
5 identified as Miguel Cuevas if he could get heroin as  
6 well as cocaine, that he told them that he would try,  
7 then Officer Rowe handed him forty dollars from the Salem  
8 Police money for the heroin, and Officer Doyle handed him  
9 fifty dollars from the money for the cocaine, that he was  
10 able to get both for them on Harrison Avenue, but again,  
11 would not tell them or introduce them to the party that  
12 he got it from; is that correct?

13 A Correct. Officer Doyle handed him the fifty dollars for  
14 the cocaine, as well as Officer Rowe, yes.

15 Q Were those items also put into evidence?

16 A Yes, they were.

17 Q And were they, subsequently, submitted to the state  
18 laboratory for testing?

19 A Yes, they were.

20 Q And was the substance that you had believed to be heroin  
21 examined at the state laboratory and found to contain  
22 heroin?

23 A Yes, it was.

24 Q And is that certification number 821975?

1 A Yes, it is.

2 MS. HOPWOOD: I'd ask if that could be marked  
3 as Exhibit One, please?

4 (Exhibit No. 1, marked; Certificate of  
5 Analysis.)

6 Q And the other three twists of what you suspected to be  
7 cocaine were also submitted to the state laboratory,  
8 related to the other purchases, correct, from the fifth,  
9 the eighth and the tenth?

10 A That's correct, yes.

11 Q Were those also submitted?

12 A Yes, they were.

13 Q Did you have an opportunity to review the state  
14 certification related to those three twists?

15 A Yes, I have.

16 Q Does certification number 821976 certify that that  
17 substance was found to contain cocaine?

18 A Yes.

19 Q And does certification 821977 certify that that substance  
20 was found to contain cocaine?

21 A Yes.

22 Q And does certification 821978 certify that that substance  
23 was found to contain cocaine?

24 A Yes.

1 MS. HOPWOOD: I'd ask that these be marked as  
2 Exhibits Two, Three and Four.

3 (Exhibit No. 2, marked; Certificate of  
4 Analysis.)

5 (Exhibit No. 3, marked; Certificate of  
6 Analysis.)

7 (Exhibit No. 4, marked; Certificate of  
8 Analysis.)

9 MS. HOPWOOD: I have no further questions for  
10 this witness. Do any of the grand jurors have any  
11 questions?

12 Q If you could wait outside?

13 THE FOREPERSON: All those in favor of allowing  
14 the Assistant District Attorney to remain while we  
15 deliberate, please raise your hand?

16 The Assistant District Attorney may remain.

17 (Whereupon, the court reporter exited the room  
18 and subsequently returned.)

19 MS. HOPWOOD: The grand jurors having returned  
20 true bills, I have for your further consideration that  
21 Miguel Cuevas, of Salem, in the County of Essex, on the  
22 fifth day of January, in the year 2007, at Salem, in the  
23 County of Essex, aforesaid, defendant having been  
24 previously convicted of manufacturing, distributing,

1 dispensing or possessing with intent to manufacture,  
2 distribute or dispense a controlled substance as defined  
3 by Section 31 of General Laws Chapter 94C, under this or  
4 any prior law of the Commonwealth or of any offense of  
5 any other jurisdiction, federal, state or territorial,  
6 which is the same as or necessarily includes the elements  
7 of said offense.

8 Further, Miguel Cuevas, of Salem, in the County  
9 of Essex, on the eighth day of January, in the year 2007,  
10 at Salem, in the County of Essex, aforesaid, said  
11 defendant having been previously convicted of  
12 manufacturing, distributing, dispensing or possessing  
13 with intent to manufacture, distribute or dispense a  
14 controlled substance as defined by Section 31 of General  
15 Laws Chapter 94C, under this or any prior law of the  
16 Commonwealth or of any offense of any other jurisdiction,  
17 federal, state or territorial, which is the same as or  
18 necessarily includes the elements of said offense.

19 That Miguel Cuevas, of Salem, in the County of  
20 Essex, on the tenth day of January, in the year 2007, at  
21 Salem, in the County of Essex, aforesaid, said defendant  
22 having been previously convicted of manufacturing,  
23 distributing, dispensing or possessing with intent to  
24 manufacture, distribute or dispense a controlled



1 substance as defined by Section 31 of General Laws  
2 Chapter 94C, under this or any prior law of the  
3 Commonwealth or of any other offense of any other  
4 jurisdiction, federal, state or territorial, which is the  
5 same as or necessarily includes the elements of said  
6 offense.

7 And that Miguel Cuevas, of Salem, in the County  
8 of Essex, on the tenth day of January, in the year 2007,  
9 at Salem, in the County of Essex, aforesaid, said  
10 defendant having been previously convicted of  
11 manufacturing, distributing, dispensing or possessing  
12 with intent to manufacture, distribute or dispense a  
13 controlled substance as defined by Section 31 of General  
14 Laws Chapter 94C, under this or any prior law of the  
15 Commonwealth or of any offense of any other jurisdiction,  
16 federal, state or territorial, which is the same as or  
17 necessarily includes the elements of said offense.

18 That last presentment is related to the heroin.  
19 The other three -- the one prior to that, is related to  
20 the cocaine on January tenth, and the other two are  
21 related to the other cocaine as the dates -- date is on  
22 the indictment. Just for the tenth, I want to be sure  
23 that you understood that one was for the heroin and one  
24 was for the cocaine.

STEVEN BONA, RECALLED

DIRECT EXAMINATION, RESUMED

Q (By Ms. Hopwood) I just want to remind you that you're still under oath?

A Yes.

Q Sergeant Bona, have you had an opportunity to review the Board of Probation record of Miguel Cuevas?

A Yes.

Q And is that the same Miguel Cuevas that was convicted of possession to distribute Class B out of -- on docket 0336CR3522, in 2003?

A Yes.

Q And is that the same Miguel Cuevas who was convicted of distribution of Class B, docket 0336CR3625, from 2003?

A Yes, it is.

MS. HOPWOOD: I have no further questions for this witness. Do any of the grand jurors have any questions for the witness?

Q Thank you.

A Thank you.

THE FOREPERSON: All those in favor of allowing the Assistant District Attorney to remain while we

1 deliberate, please raise your hand?

2 The Assistant District Attorney may remain.

3 (Whereupon, the hearing concluded.)

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

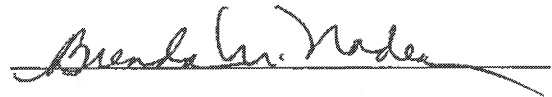
23

24

## C E R T I F I C A T E

I, Brenda M. Nadeau, a Notary Public in and for the Commonwealth of Massachusetts, do hereby certify that the foregoing record, Pages 1 to 22, inclusive, is a true and accurate transcript of my System Tapes to the best of my knowledge, skill and ability.

In Witness Whereof, I have hereunto set my hand and Notarial Seal this 12<sup>th</sup> day of October, 2007.



Brenda M. Nadeau

Notary Public

My Commission expires: July 17, 2009

COMMONWEALTH OF MASSACHUSETTS

Essex, to wit:

At the SUPERIOR COURT begun and holden at Salem, within and for said County of Essex, on the first Monday of **October** in the year of our Lord two thousand seven.

THE JURORS for the Commonwealth of Massachusetts upon their oath present, that

**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **fifth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

did unlawfully distribute cocaine, a derivative of coca leaves a controlled substance in Class B of G.L. chapter 94C, section 31,

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

(Second Page)

And the jurors aforesaid, upon their oath aforesaid, do further present, that

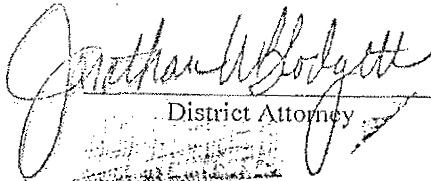
**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **eighth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid


said defendant having been previously convicted of manufacturing, distributing, dispensing, or possessing with intent to manufacture, distribute or dispense a controlled substance as defined by section 31, of G.L. chapter 94C, under this or any prior law of the Commonwealth or of any offense of any other jurisdiction, federal, state or territorial, which is the same as or necessarily includes the elements of said offense,

The Commonwealth hereby  
files a PDP as to so much of  
this indictment alleging more than  
Distribution of Class B - Cocaine.  
X [Signature]

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
District Attorney

A TRUE BILL

  
Foreperson of the Grand Jury

COMMONWEALTH OF MASSACHUSETTS

Essex, to wit:

At the SUPERIOR COURT begun and holden at Salem, within and for said County of Essex, on the first Monday of **October** in the year of our Lord two thousand seven.

THE JURORS for the Commonwealth of Massachusetts upon their oath present, that

**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **eighth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

did unlawfully distribute cocaine, a derivative of coca leaves a controlled substance in Class B of G.L. chapter 94C, section 31,

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

(Second Page)

And the jurors aforesaid, upon their oath aforesaid, do further present, that

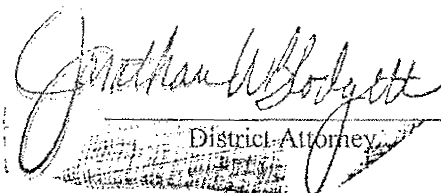
**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **fifth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

said defendant having been previously convicted of manufacturing, distributing, dispensing, or possessing with intent to manufacture, distribute or dispense a controlled substance as defined by section 31, of G.L. chapter 94C, under this or any prior law of the Commonwealth or of any offense of any other jurisdiction, federal, state or territorial, which is the same as or necessarily includes the elements of said offense,

The Commonwealth hereby files  
a PNP as to so much of this  
Indictment alleging more than  
Distribution of Class B-Cocaine.  
K [Signature]

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
District Attorney

A TRUE BILL

  
Foreperson of the Grand Jury



ESSEX, ss. On this            day of            in the year two thousand  
seven, this indictment was returned to and presented to the Said Superior Court, by  
the Grand Jury, and order to be filed.

ATTEST:

DIRECT  
SALEM

ESCR2007-

01535

001

Commonwealth of Massachusetts

VERSUS

MIGUEL CUEVAS

Superior Court      October      Term, 2007

Distribution of Cocaine,  
Second or Subsequent Offense

94C/32A

Essex, ss. OCT 15 2007  
Returned to and presented in said  
Superior Court, by the Grand Jury  
and ordered to be filed.  
Attest.

*Thomas R. Marshall Jr.*  
CLERK

COMMONWEALTH OF MASSACHUSETTS

Essex, to wit:

At the SUPERIOR COURT begun and holden at Salem, within and for said County of Essex, on the first Monday of **October** in the year of our Lord two thousand seven.

THE JURORS for the Commonwealth of Massachusetts upon their oath present, that

**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **tenth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

did unlawfully distribute cocaine, a derivative of coca leaves a controlled substance in Class B of G.L. chapter 94C, section 31,

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

(Second Page)

And the jurors aforesaid, upon their oath aforesaid, do further present, that

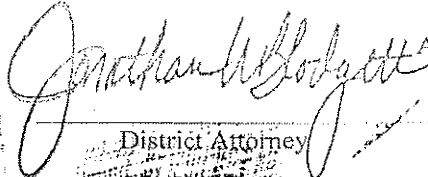
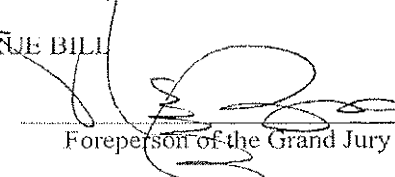
MIGUEL CUEVAS

of Salem, in said County of Essex, on the **tenth** day of **January**, in the year of our Lord two thousand seven, at Salem in the County of Essex aforesaid

said defendant having been previously convicted of manufacturing, distributing, dispensing, or possessing with intent to manufacture, distribute or dispense a controlled substance as defined by section 31, of G.L. chapter 94C, under this or any prior law of the Commonwealth or of any offense of any other jurisdiction, federal, state or territorial, which is the same as or necessarily includes the elements of said offense,

The Commonwealth hereby files  
a PNP as to so much of this  
indictment alleging more than  
Distribution of Cocaine - class B.  
K. H.

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

 A TRUE BILL  
  
District Attorney Foreperson of the Grand Jury

ESSEX, ss. On this \_\_\_\_\_ day of \_\_\_\_\_ in the year two thousand  
seven, this indictment was returned to and presented to the Said Superior Court, by  
the Grand Jury, and order to be filed.

ATTEST:

DIRECT  
SALEM

ESCR2007-

1535

003

Commonwealth of Massachusetts

VERSUS

MIGUEL CUEVAS

Superior Court      October      Term, 2007

Distribution of Cocaine,  
Second or Subsequent Offense

94C/32A

Essex, ss. OCT 5 2007  
Returned to and presented in said  
Superior Court, by the Grand Jury  
and ordered to be filed.  
Attest.

CLERK

R 483

COMMONWEALTH OF MASSACHUSETTS

Essex, to wit:

At the SUPERIOR COURT begun and holden at Salem, within and for said County of Essex, on the first Monday of **October** in the year of our Lord two thousand seven.

THE JURORS for the Commonwealth of Massachusetts upon their oath present, that

**MIGUEL CUEVAS**

of **Salem**, in said County of Essex, on the **tenth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

did unlawfully distribute a controlled substance in Class A of G.L. chapter 94C, section 31, to wit: heroin,

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

(Second Page)

And the jurors aforesaid, upon their oath aforesaid, do further present, that

**MIGUEL CUEVAS**

of Salem, in said County of Essex, on the **tenth** day of **January**, in the year of our Lord two thousand seven, at **Salem** in the County of Essex aforesaid

said defendant having been previously convicted of manufacturing, distributing, dispensing, or possessing with intent to manufacture, distribute or dispense a controlled substance as defined by section 31, of G.L. chapter 94C, under this or any prior law of the Commonwealth or of any offense of any other jurisdiction, federal, state or territorial, which is the same as or necessarily includes the elements of said offense,

*The Commonwealth hereby files a  
partial Notice Pleading as to so much of  
this indictment alleging more than  
Distribution of Heroin - Class A.*

*K. H.*

against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

*Jonathan W. Blodgett*  
\_\_\_\_\_  
District Attorney

A TRUE BILL

*[Signature]*  
\_\_\_\_\_  
Foreperson of the Grand Jury

ESSEX, ss. On this            day of            in the year two thousand  
seven, this indictment was returned to and presented to the Said Superior Court, by  
the Grand Jury, and order to be filed.

ATTEST:

DIRECT  
SALEM

ESCR2007-

11535

004

Commonwealth of Massachusetts

VERSUS

MIGUEL CUEVAS

Superior Court      October      Term, 2007

Distribution of Heroin,  
Second or Subsequent Offense

94C/32

Essex, ss. OCT 5 2007  
Filed and presented in said  
Superior Court, by the Grand Jury  
and ordered to be filed.

Attest.

*Thomas R. Marshall Jr.*  
CLERK

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

Superior Court Department  
Criminal No.: ESCR2007-1535-001-004

COMMONWEALTH

vs.

MIGUEL CUEVAS  
DEFENDANT

---

In the above enter the appearance of the undersigned for the COMMONWEALTH.

Name of Attorney: Karen H. Hopwood  
Address: Office of the Eastern District Attorney  
Ten Federal Street  
Salem, MA 01970  
Telephone: (978) 745-6610 ext. 5078  
BBO#: 655885

---

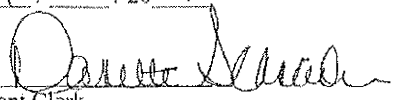
(DO NOT WRITE BELOW THIS LINE)

---

FILED: \_\_\_\_\_

11, 28, 07

ATTEST: \_\_\_\_\_

  
Assistant Clerk

This appearance subject to Rule 7 of the Massachusetts Rules of Criminal Procedure.

ktrask/grandjury/noticeofappearance



COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS.

SUPERIOR COURT  
DEPARTMENT  
CRIMINAL

No. *ESCR 2007 1535*

COMMONWEALTH

VS.

*Miguel Cuevas*

Defendant

*Rep J 11/28/07*  
FILED IN COURT  
ATTEST *C. Paff*  
ASST. CLERK

In the above enter the appearance of the undersigned for the  
DEFENDANT/COMMONWEALTH

NAME OF ATTORNEY *Jalir Busawski*

ADDRESS *CPCS  
One Salem Green #488  
Salem MA 01970*

TEL. NO. *(978) 744-9113*

EMAIL *jbusawski@publiccounsel.net*

B.B.O.# *657644*

(DO NOT WRITE BELOW THIS LINE)

FILED: / /20

ATTEST

Assistant Clerk

This appearance subject to Rule 7 of the Massachusetts Rules of Criminal Procedure

Commonwealth of Massachusetts

Essex Superior Court  
Superior Court House  
34 Federal Street  
Salem, MA 10970

5

TO: Clerk/Magistrate  
District Court Department  
Salem District Court  
65 Washington ST.  
Salem, MA 01970

ORDER FOR THE TRANSMITTAL OF BAIL

RE: Miguel Cuevas  
Superior Court DOCKET#: ESCR2007-01535

Dear Clerk/Magistrate:

Following Indictment on the above named defendant appeared before this court on was 11/28/2007 and was arraigned on charges of:

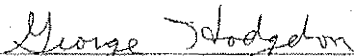
01/05/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/08/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/10/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/10/2007 DRUG, DISTRIBUTE CLASS A, SUBSQ.OFF. c94C s32(b)

It having been represented to this Court at the time of his arraignment that the defendant was admitted to bail on all or some of these identical offenses pending in the District Court Department, Lynn Division. Prior to the time of the probable cause hearing this Court imposed the same bail and accepted the same surety or sureties as that of the corresponding District Court Department complaints superseded by the indictments.

Upon dismissal of the complaints in the District Court Department, the Clerk is instructed to transmit the recognizance on all cases, the affidavit of surety, bond or cash as the case may be to the Clerk of Courts Superior Court Department, this all being agreeable with the defendant and surety or sureties.

Dated at Salem, Massachusetts this 29th day of November, 2007.

By the Court (David Lowy, Justice)

  
Deputy Assistant Clerk

Entered: 11/29/2007

## Commonwealth of Massachusetts

Essex Superior Court  
Superior Court House  
34 Federal Street  
Salem, MA 10970

TO: Clerk/Magistrate  
District Court Department  
Salem District Court  
65 Washington ST  
Salem, MA 01970

ORDER FOR THE TRANSMITTAL OF BAIL

RE: Miguel Cuevas  
Superior Court DOCKET#: ESCR2007-01535

Dear Clerk/Magistrate:

Following Indictment on the above named defendant appeared before this court on was 11/28/2007 and was arraigned on charges of:

01/05/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/08/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/10/2007 COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C s32A(d)  
01/10/2007 DRUG, DISTRIBUTE CLASS A, SUBSQ.OFF. c94C s32(b)

It having been represented to this Court at the time of his arraignment that the defendant was admitted to bail on all or some of these identical offenses pending in the District Court Department, Lynn Division. Prior to the time of the probable cause hearing this Court imposed the same bail and accepted the same surety or sureties as that of the corresponding District Court Department complaints superseded by the indictments.

Upon dismissal of the complaints in the District Court Department, the Clerk is instructed to transmit the recognizance on all cases, the affidavit of surety, bond or cash as the case may be to the Clerk of Courts Superior Court Department, this all being agreeable with the defendant and surety or sureties.

Dated at Salem, Massachusetts this 29th day of November, 2007.

By the Court (David Lowy, Justice)

Entered: 11/29/2007

*George Dodgson*  
Deputy Assistant Clerk

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS

SUPERIOR COURT DEPARTMENT  
INDICTMENT NO(s): ESCR2007-1535-001-004

COMMONWEALTH

v.

MIGUEL CUEVAS  
Defendant

**DISCOVERY INDEX**

1. Salem District Court Complaint No. 0736CR1716, dated 6/6/07, 2 pages;
2. Salem District Court Application for Complaint, dated 5/30/07, 3 pages;
3. Salem Police Department Report No. D006487, 5/22/07, 4 pages;
4. Salem Police Department Report of Detective. Stephen Bona, 1/5/07, 1 page;
5. Salem Police Department Booking Report, dated 6/9/07, 3 pages;
6. Dept. of Public Health, Drug Certificate No. 821975, dated 9/12/07, 1 page;
7. Dept. of Public Health, Drug Certificate No. 821976, dated 9/13/07, 1 page;
8. Dept. of Public Health, Drug Certificate No. 821977, dated 9/17/07, 1 page;
9. Dept. of Public Health, Drug Certificate No. 821978, dated 9/14/07, 1 page;
10. Grand Jury Indictment No. ESCR2007-1535-001, dated 10/5/07, 2 pages;
11. Grand Jury Indictment No. ESCR2007-1535-002, dated 10/5/07, 2 pages;
12. Grand Jury Indictment No. ESCR2007-1535-003, dated 10/5/07, 2 pages;
13. Grand Jury Indictment No. ESCR2007-1535-004, dated 10/5/07, 2 pages;
14. Grand Jury Minutes, dated 10/5/07, 23 pages.

Respectfully submitted,  
For the Commonwealth  
JONATHAN W. BLODGETT  
DISTRICT ATTORNEY



Karen H. Hopwood  
Assistant District Attorney  
10 Federal Street  
Salem, MA 01970  
(978) 745-6610 ext. 5078  
BBO#: 655885

Date: 11/28/07

<b>COGNIZANCE</b> <small>(Pledge to Appear)</small> DEFENDANT'S NAME AND ADDRESS (INCLUDE ANY ALIAS) Miguel Cuevas		<b>COMMONWEALTH OF MASSACHUSETTS</b>		CASE NUMBER 0736CR1716
SOCIAL SECURITY NUMBER _____		TERMS OF RELEASE <input type="checkbox"/> PERSONAL RECOGNIZANCE (Promise to Appear) \$ _____ <input checked="" type="checkbox"/> BAIL <input checked="" type="checkbox"/> CASH AS SURETY \$4,000 <input type="checkbox"/> BOND AS SURETY \$ _____ <input type="checkbox"/> OTHER SURETY \$ _____ (Please Specify)		NAME AND ADDRESS OF COURT Salem District Court 65 Washington St. Salem, MA. 01970
DAYS OF BIRTH 8/16/85		DATE AND TIME OF APPEARANCE 8/1/07 AT 9:00 <input checked="" type="checkbox"/> A.M. <input type="checkbox"/> P.M.		THE DEFENDANT MUST APPEAR AT THIS COURT ADDRESS ON THE DATE AND TIME SPECIFIED HEREIN
SURETY/SURETIES NAME AND ADDRESS _____		ARREST ON WARRANT <input type="checkbox"/> YES <input type="checkbox"/> NO		OFFENSE(S) Drug violation near park school

I, as defendant, charged by complaint with the crime(s) listed above, understand that I am being released from the terms of release specified. I will personally appear before the above named court at the time specified, and I will appear for any continuance until the final decree, sentence or order, and I will depart without leave. Further, I will appear before any court to which the charges may be referred, or to any sitting of the Superior Court to which I may be bound over or indicted to answer to the will appear for any continuance until the final decree, sentence or order, and I will abide by it until leave.

I acknowledge that if I fail without sufficient excuse to appear in accordance with the foregoing promise, jointly and severally if a surety has been required, to the Commonwealth of Massachusetts specified in the

07/13/07 #000000  
 07361716 #  
 BAIL 4000.00  
 SURETY 4000.00  
 TOTAL 4000.00  
 CHECK 4000.00  
 CHANGE .00

1 WITNES

CLERK X 0751

824 #0000 12:03

SIGNED (DEFENDANT)  
☒ Miguel Cuevas  
 DATE 7/12/07  
 I and acknowledge that if the above named defendant fails to appear and abide by all orders of the court, to the foregoing promise, I will be liable, jointly and severally, with the defendant to the Commonwealth of Massachusetts for the dollar amount specified in the terms of the release.

SIGNED (SURETY)  
☒ [Signature]  
 A. RELEASE AUTHORIZED FROM  
 Sal Sup Ct  
 B. JURISDICTION OF MAGISTRATE  
 (Complete when appearance is being required outside of your jurisdiction)  
 BAIL FEE RECEIVED  
 \$ 0.00  
 DATE AND TIME SIGNED  
 7/12/07 3:45 ☐ A.M. ☒ P.M.

#### NOTICE TO DEFENDANT & SURETY

and until the Legal Counsel Fee is satisfied in accordance with G.L. c. 211D, § 27.  
Penalty for failure to appear in court after release on bail or recognizance  
 A defendant who fails without sufficient excuse to appear in court after release on bail or recognizance may be punished by a fine of \$10,000 or by imprisonment for a year, or both, in the case of a misdemeanor, and by a fine of \$50,000 or imprisonment for five years, or both, in the case of a felony.

Penalty for committing a crime while on release on bail or recognizance  
 A defendant who is charged with another crime while on release on bail or recognizance may have the terms of this release revoked, and the defendant may be held without bail for a period not to exceed 60 days.

#### RECEIPT-RECORD OF PAYMENT OF CASH BAIL

☐ NOT APPLICABLE

DATE	RECEIVED FROM SURETY (NAME AND ADDRESS)	DEFENDANT	AMOUNT
7/12/07		Miguel Cuevas	\$4,000.00
		CASE NUMBER 0736CR1716	DISTRICT COURT Salem

RECEIVED BY

CR-9 (8/04)

CRIMINAL DOCKET		DOCKET NUMBER	NO. OF COUNTS	Trial Court of Massachusetts District Court Department	
DEFENDANT NAME AND ADDRESS Miguel A Cuevas		DOB	GENDER Male	COURT NAME & ADDRESS Salem District Court 65 Washington Street Salem, MA 01970	
		DATE COMPLAINT ISSUED 06/06/2007	INTERPRETER REQUIRED		
		PRECOMPLAINT ARREST DATE	WARRANT		
FIRST FIVE OFFENSE COUNTS					
COUNT	CODE	OFFENSE DESCRIPTION			OFFENSE DATE
1	94C/32A/E	DRUG, DISTRIBUTE CLASS B c94C §32A(a)			01/03/2007
2	94C/32A/E	DRUG, DISTRIBUTE CLASS B c94C §32A(a)			01/08/2007
3	94C/32A/E	DRUG, DISTRIBUTE CLASS B c94C §32A(a)			01/10/2007
4	94C/32A	DRUG, DISTRIBUTE CLASS A c94C §32(a)			01/10/2007
5	94C/32J	DRUG VIOLATION NEAR SCHOOL/PARK c94C §32J	0951X000007/13/07BAIL		01/05/2007 4000.00
DEFENSE ATTORNEY G. ZEROLA 11-2-07 W/NEW		OFFENSE CITY/TOWN Salem	POLICE DEPARTMENT Salem PD		
DATE & JUDGE	DOCKET ENTRY		DATE & JUDGE	FEES IMPOSED	
6-11-07 9 L. W. STON	<input type="checkbox"/> Attorney appointed (S.J.C.R. 3.10) <input type="checkbox"/> Atty denied & Deft. Advised per 211 D.S. <input type="checkbox"/> Waiver of Counsel found after colloquy			Counsel Fee (211D § 2A(2)) <input type="checkbox"/> WAIVED Counsel Contribution (211D § 2) <input type="checkbox"/> WAIVED Default Warrant Fee (276 § 30(1)) <input type="checkbox"/> WAIVED Default Warrant Arrest Fee (276 § 30(2)) <input type="checkbox"/> WAIVED Probation Supervisor Fee (276 § 87A) <input type="checkbox"/> WAIVED Bail Order Forfeited	
	Terms of release set: <input type="checkbox"/> PR <input checked="" type="checkbox"/> Bail <input type="checkbox"/> Safe Docket for special condition <input type="checkbox"/> Held (276 § 58A)				
	Arraigned and advised: <input checked="" type="checkbox"/> Potential of bail revocation (276 § 55) <input type="checkbox"/> Right to bail to review (276 § 55) <input type="checkbox"/> Right to drug exam (111E § 10)				
	Advised of right to jury trial: <input type="checkbox"/> Waiver of jury found after colloquy <input type="checkbox"/> Does not waive				
	Advised of trial rights as per on (Dist. Ct. Supp. R. 4)				
	Advised of right of appeal to Appeals Ct. (M.R. Crim P.R. 28)				
SCHEDULING HISTORY					
NO.	SCHEDULED DATE	EVENT	RESULT	JUDGE	TAPE START/STOP
1	6-29-07	PTIT	<input checked="" type="checkbox"/> Held <input type="checkbox"/> Cont'd	6-29-07	
2	8-1-07	DCC	<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
3	10-7-07	DCC	<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
4	11-2-07	DCC	<input type="checkbox"/> Held <input checked="" type="checkbox"/> Cont'd		
5	11-29-07	SRP	<input checked="" type="checkbox"/> Held <input type="checkbox"/> Cont'd		
6			<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
7			<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
8			<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
9			<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
10			<input type="checkbox"/> Held <input type="checkbox"/> Cont'd		
APPROVED ABBREVIATIONS					
ARR = Arraignment PTIT = Pretrial hearing DCC = Discovery conference & jury selection BTR = Bench trial JTR = Jury trial PCR = Probable cause hearing MGT = Motion hearing SRP = Status review SRP = Status review of payment FAT = First appearance in jury session SEN = Sentence CWR = Commonwealth's written finding scheduled to terminate PRG = Probation scheduled to terminate DPA = Defendant failing to appear & was defaulted WDR = Waiver issued WARD = Default warrant issued WR = Warrant or default warrant recalled PPR = Probation revocation hearing					
A TRUE COPY ATTEST:		CLERK-MAGISTRATE / ASST. CLERK		TOTAL NO. OF PAGES	ON (DATE)
		X			

Date/Time Printed: 06-06-2007 13:25:15

Version: 2.0 - 11/04

CRIMINAL DOCKET - OFFENSES		DEFENDANT NAME		DOCKET NUMBER	
		Miguel A Cuevas		0736CR001716	
COUNT / OFFENSE				DISPOSITION DATE AND JUDGE	
1 DRUG, DISTRIBUTE CLASS B c94C §32A(a)				1/1/11	
DISPOSITION METHOD		FINE/ASSESSMENT	SURFIDE	COSTS	OUI §24D FEE
<input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 276 §29D warning <input type="checkbox"/> Bench Trial <input checked="" type="checkbox"/> Jury Trial <input type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		HEAD INJURY ASMT	RESTITUTION	VW ASSESSMENT	BATTERER'S FEE
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING		FINAL DISPOSITION		JUDGE	DATE
<input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		<input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated; defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)			
COUNT / OFFENSE				DISPOSITION DATE AND JUDGE	
2 DRUG, DISTRIBUTE CLASS B c94C §32A(a)				1/1/11	
DISPOSITION METHOD		FINE/ASSESSMENT	SURFIDE	COSTS	OUI §24D FEE
<input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 276 §29D warning <input type="checkbox"/> Bench Trial <input checked="" type="checkbox"/> Jury Trial <input type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		HEAD INJURY ASMT	RESTITUTION	VW ASSESSMENT	BATTERER'S FEE
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING		FINAL DISPOSITION		JUDGE	DATE
<input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		<input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated; defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)			
COUNT / OFFENSE				DISPOSITION DATE AND JUDGE	
3 DRUG, DISTRIBUTE CLASS B c94C §32A(a)				1/1/11	
DISPOSITION METHOD		FINE/ASSESSMENT	SURFIDE	COSTS	OUI §24D FEE
<input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 276 §29D warning <input type="checkbox"/> Bench Trial <input checked="" type="checkbox"/> Jury Trial <input type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		HEAD INJURY ASMT	RESTITUTION	VW ASSESSMENT	BATTERER'S FEE
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING		FINAL DISPOSITION		JUDGE	DATE
<input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		<input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated; defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)			

Date/Time Printed: 01-06-2011 10:33:10

Version 2.0 - 11/04

<b>CRIMINAL DOCKET - OFFENSES</b>		DEFENDANT NAME <b>Miguel A Cuevas</b>		DISPOSITION DATE AND JUDGE <b>0736CR001716</b>	
COUNT / OFFENSE <b>4 DRUG, DISTRIBUTE CLASS A c94C §32(a)</b>		DISPOSITION DATE AND JUDGE			
DISPOSITION METHOD <input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 278 §29D warning <input type="checkbox"/> Bench Trial <input type="checkbox"/> Jury Trial <input checked="" type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		FINE/ASSESSMENT HEAD INJURY ASMT		COSTS V/W ASSESSMENT	
		SURFINE RESTITUTION		OUI §24D FEE BATTERER'S FEE	
				OUI VICTIMS ASMT OTHER	
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING <input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		FINAL DISPOSITION <input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated: defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)		JUDGE                      DATE	
COUNT / OFFENSE <b>5 DRUG VIOLATION NEAR SCHOOL/PARK c94C 732J</b>		DISPOSITION DATE AND JUDGE			
DISPOSITION METHOD <input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 278 §29D warning <input type="checkbox"/> Bench Trial <input type="checkbox"/> Jury Trial <input checked="" type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		FINE/ASSESSMENT HEAD INJURY ASMT		COSTS V/W ASSESSMENT	
		SURFINE RESTITUTION		OUI §24D FEE BATTERER'S FEE	
				OUI VICTIMS ASMT OTHER	
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING <input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		FINAL DISPOSITION <input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated: defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)		JUDGE                      DATE	
COUNT / OFFENSE <b>6 DRUG VIOLATION NEAR SCHOOL/PARK c94C 732J</b>		DISPOSITION DATE AND JUDGE			
DISPOSITION METHOD <input type="checkbox"/> Guilty Plea or <input type="checkbox"/> Admission to Sufficient Facts accepted after colloquy and 278 §29D warning <input type="checkbox"/> Bench Trial <input type="checkbox"/> Jury Trial <input checked="" type="checkbox"/> Dismissed upon: <input checked="" type="checkbox"/> Request of Commonwealth <input type="checkbox"/> Request of Victim <input type="checkbox"/> Request of Defendant <input type="checkbox"/> Failure to prosecute <input type="checkbox"/> Other: <input type="checkbox"/> Filed with Defendant's consent <input type="checkbox"/> Nolle Prosequi <input type="checkbox"/> Decriminalized (277 §70 C)		FINE/ASSESSMENT HEAD INJURY ASMT		COSTS V/W ASSESSMENT	
		SURFINE RESTITUTION		OUI §24D FEE BATTERER'S FEE	
				OUI VICTIMS ASMT OTHER	
		SENTENCE OR OTHER DISPOSITION <input type="checkbox"/> Sufficient facts found but continued without a finding until: <input type="checkbox"/> Defendant placed on probation until: <input type="checkbox"/> Risk/Need or OUI <input type="checkbox"/> Administrative Supervision <input type="checkbox"/> Defendant placed on pretrial probation (276 §87) until: <input type="checkbox"/> To be dismissed if court costs / restitution paid by:			
FINDING <input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Responsible <input type="checkbox"/> Not Responsible <input type="checkbox"/> Probable Cause <input type="checkbox"/> No Probable Cause		FINAL DISPOSITION <input type="checkbox"/> Dismissed on recommendation of Probation Dept. <input type="checkbox"/> Probation terminated: defendant discharged <input type="checkbox"/> Sentence or disposition revoked (see cont'd page)		JUDGE                      DATE	





Commonwealth of Massachusetts  
County of Essex  
The Superior Court

CRIMINAL DOCKET# ESCR2007-01535

RE: Commonwealth v Cuevas, Miguel

TO:

---

ORDER OF NOTICE TO SHOW CAUSE  
FORFEITURE OF BAIL

WE COMMAND YOU, that you appear before our Superior Court, at the Court House at Salem in the County of Essex in CtRm 1 (Salem), CtRm 1 (Salem) session without jury of our said Court,

on: 02/28/2008


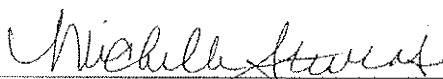
at: 09:00 AM

to show cause why bail should not be forfeited in Commonwealth v Cuevas, Miguel case # ESCR2007-01535

The amount of bail you posted in this case is \$4,000.00 and the same is subject to forfeiture on that day to the Commonwealth. You are advised to bring this ORDER with you.

Witness, Barbara J. Rouse, Esquire, Chief Justice of the Superior Court at Salem this 28th day of January in the year of our Lord 2008.

Thomas H. Driscoll Jr.  
Clerk of the Courts

<b>NOTICE OF RECALL OF WARRANT</b>		<b>POLICE DEPARTMENT SALEM PD</b>		<b>Trial Court of Massachusetts Essex Superior Court</b> 	
NAME OF DEFENDANT CUEVAS, MIGUEL		DEF. DOB		COURT Essex Superior Court 34 Federal Street  Salem, MA 01970	
DOCKET NUMBER 0777CR001535	DATE WARRANT ISSUED 12/17/2007	DATE WARRANT RECALLED 05/19/2008	REASON FOR RECALL		
			<input type="checkbox"/> Case has been disposed of <input type="checkbox"/> Default removed and case continued to _____ <input type="checkbox"/> Other		
<p>TO THE DEFENDANT NAMED ABOVE:</p> <p>You are hereby notified that the court has recalled, without service, and cancelled the warrant(s) against you that are listed above.</p> <p>This recall notice applies ONLY to the warrant(s) listed above which were issued and recalled on the date(s) listed above. It does NOT apply to any subsequent warrant(s) issued under the same case docket number(s).</p> <p><b>KEEP THIS NOTICE ON YOUR PERSON AS EVIDENCE OF THE RECALL</b> in the event that a law enforcement officer questions you about the above warrant(s).</p> <p>If your case has not been fully disposed of and you have been released on bail or personal recognizance, your wilful failure to appear may result in the issuance of an additional criminal complaint punishable by up to one year imprisonment or up to a \$1,000 fine or both. See General Laws chapter 276, section 82A.</p>					
DATE		 AUTHORIZED COURT SIGNATURE			

9

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

To the Sheriff of the County of Essex, his Deputies, or any Officer authorized to serve criminal process in the Commonwealth, and the Superintendent of either of the Jails in said County,

GREETING:

These are to command you, the said Sheriffs and Officers, in the name of the Commonwealth of Massachusetts, forthwith to convey and deliver into the custody of the said Superintendent the body of

*Miguel Cuevas*

who this day has been brought before the Superior Court, for the transaction of criminal business, holden within and for said County, to answer to an indictment found against him by the Grand Inquest for the body of said County, wherein he is charged with the crime of

*DIST of COCAINE (2nd Subs)*

alleged to have been committed in said County; and who, having been ordered by said Court to

\*\* recognize in the sum of

*Held w/out*

dollars,

with sufficient surety in a like sum, for his personal appearance before said Court, during the present sitting, and at any subsequent time to which said indictment may be continued, unless previously surrendered or discharged, and so from time to time until the final decree, sentence or order of the Court thereon, and to abide such final sentence, order or decree, and not depart without leave, has refused to comply with said order to recognize.

You, the said Superintendent, are hereby required to receive him into your custody in the said Jail, and him there safely keep until he recognize as aforesaid, or be otherwise discharged by due order of law.

WITNESS, *Barbara J. Rouse*, Esquire, Chief Justice of our Superior Court, the *19th* day of *May*, 2008, in the year of our Lord.

*James E. Rouse*  
Assistant Clerk.

\*\* OR CASH

*Copy sent Ray J 6/20/08  
Motion Allowed  
Attorney General  
Court Clerk*

*10*

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

MOTION FOR FUNDS FOR SPANISH SPEAKING INVESTIGATOR

The defendant respectfully moves, pursuant to G.L. c.261 s. 27C and Article 12 of the Massachusetts Declaration of Rights, for a sum not to exceed seven hundred (\$700.00) so that he can retain an investigator fluent in Spanish.

As reasons therefor, the defendant states that:

1. He has been found indigent by a Justice of this Court and the Committee for Public Counsel Services has been appointed to represent him.
2. He and some witnesses speak Spanish.
3. The defense will retain an investigator who speaks Spanish and charges sixty dollars an hour. This is the same rate that he charges private clients. The investigation will consist of locating and interviewing witnesses. It is more efficient and thrifter to retain a Spanish speaking investigator than to secure an interpreter to accompany our investigator in her attempts to locate and interview the witnesses.

5. The service requested is "reasonably necessary to ensure [the defendant] as effective a [defense] as he would have if he were financially able to pay", G.L. c.261 s.27C.
6. The service requested is necessary to guarantee the defendant's rights to due process and effective assistance of counsel under the Fifth, Sixth and Fourteenth Amendments to the United States Constitution.
7. The service requested is necessary to guarantee the defendant's right to be fully heard in his defense and to be effectively represented by counsel under Article 12 of the Massachusetts Declaration of Rights.
8. The service requested is required by Canons 6 and 7 of the Canons of Ethics, Guideline 4.1 of the Performance Guidelines of the Committee for Public Counsel Services and Guideline 4.1 of the Performance Guidelines of the National Legal Aid and Defender Association.

MIGUEL CUEVAS

By his attorney



Lawrence J. McGuire

BBO No. 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978-744-9113

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS.

SUPERIOR COURT  
DEPARTMENT  
CRIMINAL  
No. CR-

COMMONWEALTH

ES. CR. 2007-1535

vs.

MIGUEL CUEVAS

Defendant

In the above enter the appearance of the undersigned for the DEFENDANT/  
COMMONWEALTH.

NAME OF ATTORNEY

Lawrence J. McGuire

ADDRESS

COMMITTEE FOR PUBLIC COUNSEL SERVICES

ONE SALEM GREEN SUITE 408

TEL. NO.

SALEM MASS 01970  
978-744-9113

B.B.O.#

335080

(DO NOT WRITE BELOW THIS LINE)

FILED

ATTEST

Assistant Clerk

This appearance subject to Rule 7 of the Massachusetts Rules of Criminal Procedure

*(Signature)*

County of  
The Superior Court

18

RE: Commonwealth v. Miguel Cuevas

CRIMINAL DOCKET#

07-1535

TO: ADA Karen Hogwood  
ADA Cynthia McQuinn

*Track 'B'*

SCHEDULING ORDER  
CASE TRACKING DESTINATION  
(Presumptive Track Termination Date)

You are hereby notified that this case has been designated to proceed in accordance with the time frame of Track Superior Court Standing Order 2-86 (Amended).

COURT HEARING/EVENT

EVENT DATE

1. Arraignment Date: 11/20/07

TO BE DETERMINED AT ARRAIGNMENT

2. Automatic Discovery by prosecution

- ☐ Received  
☐ Not Received  
☐ Partially Received

Due by: \_\_\_\_\_  
Balance Due by: \_\_\_\_\_

3. Prosecutor's Certificate of Compliance due by: \_\_\_\_\_

4. Pre-Trial conference:

Habe requested: Yes No

5. Contested Discovery Motions to be filed by: \_\_\_\_\_

Hearing date: \_\_\_\_\_

*MED 12/15/08 9/15/08*

6. Pre-Trial Hearing: (Conference report must be filed on this date. Habe MUST issue)

*2/28/08*

TO BE DETERMINED AT PRE-TRIAL HEARING

7. Evidentiary/Dispositive motions to be filed by: \_\_\_\_\_

*By Magistrate 12/9/08*

8. Final Pretrial Conference: (Rule 36 issues will be reviewed, if necessary)

9. Plea Date (if applicable)

10. Trial Date: (Courtroom to be assigned)

*5/28/08*

The prosecuting attorney and defense counsel shall confer prior to the scheduled pretrial hearing in order to conference the case and prepare a written Pretrial Conference Report in accordance with Standing Order 2-86 (V). Counsel shall also prepare a Final Pretrial Memorandum in accordance with Standing Order 2-86 (X) which shall be submitted to the Court at or before the scheduled Final Pretrial Hearing.

Dated: 8/4/08

By the Court, ( *Whitcomb* ), Justice)

cc: file copy

*8/4/08 Tracking order not made at  
until today. (D was in default after  
arrangement)*

Clerk/Magistrate



13

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

MOTION FOR AUTOMATIC DISCOVERY:  
DISCLOSURE OF IDENTIFICATION PROCEDURES

The defendant respectfully moves that this Honorable Court, pursuant to Massachusetts Rules of Criminal Procedure, Rule 14(a)(1)(A)(viii), direct the Commonwealth to disclose the procedures by which any identification of the defendant was attempted or made.

The defendant specifically moves for the following information:

1. The manner and means of the identification procedures (photographic, lineup, show-up, voice or otherwise).
2. The time and place where the identification procedures were conducted.
3. The names and current addresses of any witness who made or attempted to make an identification.
4. The names and current addresses of all persons present at the identification procedures.
5. All statements made by the witnesses and persons present at the time of the identification procedures.

FILED IN COURT  
ASST. CLERK  
8/4/08

6. The names and addresses of any witness, including but not limited to undercover officer Rowe, who gave a description of the person who sold the controlled substances, the description which was given, to whom it was given and the time and place at which it was given.

7. Whether any person identified someone other than the defendant as the person who sold the controlled substances, and if so, the circumstances under which that identification was made.

8. Whether any person identified someone other than the defendant as resembling the person who sold the controlled substances, and if so, the circumstances under which it occurred

The defendant further moves for a copy of the identification protocol issued by the office of the District Attorney for Eastern District to the law enforcement agencies in Essex County, including the date on which the protocol became effective and whether the protocol was used in the investigation of this case.

As reasons for these requests the defendant states that:

1. He is accused of selling controlled substances to an undercover law enforcement officer on three separate dates, January 5, 8 and 10, 2007.
2. He was not arrested after the last of alleged sales.
3. The police did not get complaints against the defendant until May 30, 2007.
4. One of the officers involved in the investigation, Detective Steven Bona, intimates in his report that he had known the defendant before January, 2007. However it is unclear how he knew the defendant or for how long. No other police officer appears to

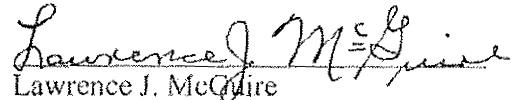
have known the defendant before January, 2007. The discovery does not indicate how or if the undercover officer identified the defendant.

5. The four month gap between the alleged criminal activity and the complaint application raises the possibility that the wrong man may have been charged.

6. The information requested is necessary to vindicate the defendant's rights to due process and a fair trial under the Fifth, Sixth and Fourteenth Amendments to the United States Constitution and Article 12 of the Massachusetts Declaration of Rights.

MIGUEL CUEVAS

By his attorney

A handwritten signature in cursive script, appearing to read "Lawrence J. McGuire", written over a horizontal line.

Lawrence J. McGuire

BBO No. 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978-744-9113

Wm. J. 8/4/08  
 FILED IN COURT  
 ASST. CLERK

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS.

SUPERIOR COURT DEPARTMENT  
 ESSEX DIVISION  
 NOS: ESCR2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

MOTION FOR DISCOVERY CONCERNING LABORATORY TESTING

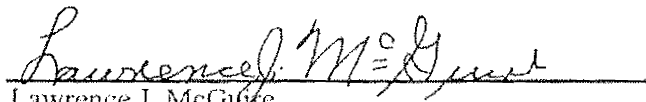
The defendant respectfully moves that this Honorable Court pursuant to Massachusetts Rules of Criminal Procedure, Rule 14(a)(1)(A)(vi) instruct the Commonwealth to disclose:

1. The manner in which the substances alleged to be contraband were tested and weighed.
2. The tests used by the laboratory to determine what the substances were.
3. All notes, handwritten or otherwise, made by the chemist and other laboratory personnel during the testing, regarding the procedures performed.
4. All drug analysis reports completed by the chemists.
5. The *curriculum vitae* of the chemist who performed the analysis.
6. Whether the drug analysis report was in the hands of the prosecutor on the day that the case was presented to the Grand Jury.

7. If the drug analysis was not in the prosecutor's hands on the day the case was presented to the Grand Jury, what evidence was presented to prove that the material was a controlled substance.

MIGUEL CUEVAS

By his attorney

A handwritten signature in cursive script, appearing to read "Lawrence J. McGuire", is written over a horizontal line.

Lawrence J. McGuire

BBO No: 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978 744-9113

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss:

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NO. ESCR2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

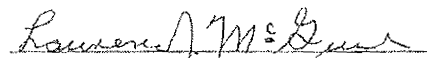
MOTION FOR REPORTS CONCERNING CHAIN OF CUSTODY OF EVIDENCE

Now comes the Defendant in the above-entitled matter and moves this Honorable Court to order the Commonwealth to provide him with a copy of any and all internal chain of custody reports governing any and all physical evidence seized or to be used at trial in these matters.

In support therefore, that defendant states that weaknesses in the chain of custody have a definite bearing on the overall weight of evidence admitted. Commonwealth v. Colon, 33 Mass. App. Ct. 304 (1992), as does the adequacy of safeguards used to protect and secure evidence as it moves from one place or one person to another. United States v. Ladd, 885 F2d. 954 (1<sup>st</sup> Cir. 1989).

MIGUEL CUEVAS

By his attorney:

A handwritten signature in cursive script, appearing to read "Lawrence J. McGuire", written over a horizontal line.

Lawrence J. McGuire

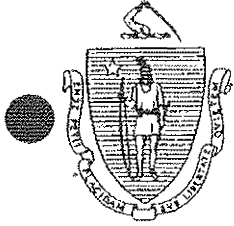
Board of Bar Overseers Number 335080

Committee for Public Counsel Services

One Salem Green, Suite 408

Salem, Massachusetts 01970

(978) 744-9113



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
William A. Hinton State Laboratory Institute  
305 South Street, Jamaica Plain, MA 02130

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

8/25/2008

Gretchen Turner  
Administrative Assistant  
Essex County District Attorney's Office  
Salem, MA. 01970

Dear Ms. Turner:

Enclosed is the information you requested in regards to analysis numbers 821975, 821976, 821977 and 821978. Included are copies of the following:

- 1) CV's for chemists Annie Dookhan, and Kate Corbett
- 2) Laboratory Receipt
- 3) Laboratory Control Cards with chemists hand notations
- 4) Laboratory Analysis Forms with Annie Dookhan's hand notations
- 5) Gas Chromatography/Mass Spectrum (GC/MS) analytical data

Preliminary testing of these items was performed by Annie Dookhan. The GC/MS testing was done by Kate Corbett.

If you have any questions about this material, please call me at 617 983-6629.

Sincerely,

A handwritten signature in cursive script, reading "Charles B. Salemi".

Charles Salemi  
Laboratory Supervisor  
Department of Public Health  
Drug Analysis Laboratory  
305 South Street  
Jamaica Plain, MA 02130

Cc:asd,kac





JONATHAN W. BLODGETT  
District Attorney

ESSEX DA MAIN OFFICE  
THE COMMONWEALTH OF MASSACHUSETTS  
OFFICE OF THE  
DISTRICT ATTORNEY FOR THE ESSEX DISTRICT  
SALEM NEWBURYPORT LAWRENCE

Ten Federal Street  
Salem, Massachusetts 01970

NO. 7314 P. 2

TELEPHONE  
VOICE (978)745-6610  
FAX (978)741-4971  
TTY (978)741-3163

August 21, 2008

Department of Public Health/State Lab  
305 South Street  
Boston, MA 02130

Attn: Shirley

Shirley,

Per our conversation, please forward this request to the proper person.

Please provide the following information by Wednesday, August 27<sup>th</sup> 2008:

1. Please provide the entire case file on the below referenced certifications;

- 821975
- 821976
- 821977
- 821978

(Please include the manner of testing and weighing, tests used, notes and analysis.)

2. The CV of the analyst who actually preformed the analysis.
3. Chain of custody reports from the lab related to the above referenced drugs.

Thank You,

Gretchen L. Turner,  
Administrative Assistant

①

## Curriculum Vitae

Annie Khan (Dookhan)

**Education:**

University of Massachusetts, Boston, Ma., Master of Science in Chemistry, (present)

University of Massachusetts, Boston, Ma., Bachelor of Science in Biochemistry, 2001

**Experience:**

2003 – present

Chemist II, Massachusetts Department of Public Health, Drug Analysis Laboratory

\*Completed six-week training course conducted by senior staff within the Department of Public Health, Drug Analysis Laboratory.

\*Appointed Assistant Analyst by Assistant Commissioner of Public Health, January 2004.

\*Responsible for the identification of drugs to determine violations of harmful and narcotic drug laws.

\*Trained in the use of complex analytical instrumentation, microscopes and balances for the purpose of drug analysis.

\*Quality Control (QC) and routine maintenance of GC instrument.

2001 – 2003

QC Analyst II, UMMS-Massachusetts Biologic Laboratory, QC Material Control

\*Completed proficiency training conducted by a member of the staff within the Massachusetts Biologic Laboratory, Quality Control and Quality Assurance Department.

\*Routine QC testing of products for the FDA.

\*Trained in the use of complex analytical instrumentation, and balances for the purpose of QC analysis for product and validation projects.

\*Writing, revising and reviewing Standard Operating Procedures (SOPs).

\*Calibration, preventive maintenance, QC and QA of analytical instrumentation.

\*Complete testing of chemicals for Vendor Validation Project for the FDA.

\*Method Development for creating new techniques for the QC Department.

\*Compendial testing and interpretation of the USP, ACS, FCC, AOAC, Merck Index, PDR, etc.

**Additional Training:**

GLP/GMP course with Massachusetts Biologic Laboratory.

QC/QA training according to FDA Codes and Regulations.

GC course with Agilent Technologies and Restek.

HPLC course with Waters Cooperation.

FTIR course with Spectros.

TOC training with Massachusetts Biologic Laboratory and Sievers.

**Association:**

American Chemical Society (ACS)

Curriculum Vitae

Kate A. Corbett

Education

**Bachelor of Science Degree, CHEMISTRY May 2003**  
**MERRIMACK COLLEGE**

Coursework included: Organic Chemistry, Inorganic Chemistry, Quantitative Analysis, Instrumental Analysis, Physical Chemistry, Physics, Calculus

Employment

**Chemist II State Laboratory Institute (March 2008-Present)**

Massachusetts Department of Public Health

Drug Analysis Laboratory

- Responsible for the identification of substance and trafficking substances to determine violation of the Massachusetts drug laws
- Responsible for the identification of pharmaceuticals to determine violation of the Massachusetts drug laws
- Operate analytical instrumentation, microscopes and balances for forensic drug analysis

**Chemist I State Laboratory Institute (2005-March 2008)**

Massachusetts Department of Public Health

Drug Analysis Laboratory

- Responsible for the identification of substance to determine violation of the Massachusetts drug laws
- Operate analytical instrumentation for the purpose of performing forensic drug analysis
- Successfully completed an eight week training course in the analysis of drugs conducted by senior staff of the Department of Public Health, Drug Analysis Laboratory
- Appointed an assistant analyst for the Department of Public Health, Drug Analysis Laboratory in 2005.

**Research Associate (September 2003 – August 2005)**

SENSOR TECHNOLOGIES, INC - Shrewsbury, MA

- Prepared chemistries used in making sensor beads
- Generated and examined sensors employing fluorescence spectroscopy
- Performed protein, dye and sugar assays using UV/VIS spectrophotometry
- Carried out titrations on ricin using fluorescence correlation spectroscopy
- Statistical analysis of experimental data

**Intern (March 2003 – August 2003)**

MASSACHUSETTS STATE POLICE CRIME LABORATORY - Sudbury, MA

- Assisted in the gathering of case files to fulfill the National Institute of Justice's No Suspect Backlog Reduction Grant
- Observed in the Evidence, Criminalistics, DNA, Drug, Trace, Toxicology, and Bomb/Arson Units

②

**Amherst Drug  
Laboratory**  
Tel (413) 545-2601  
Fax (413) 545-2608

**Boston Hours**  
8:00 – 11:00  
2:00 – 4:00

**Amherst Hours**  
9:00 – 12:00  
1:00 – 4:00

# DRUG RECEIPT


City or Department: Salem Police Reference No.: D-6487

Name and Rank of Submitting Officer: N O'Donnell

**Defendant(s) Name (last, first, initial)**

Cuevas, Miguel A

Description of Samples	To be completed by Lab Personnel	
	Gross Weight	Lab Number
(N) P/B w/Brown Powder sub 1 Twist	5.48	821975
(B) P/B w/white powder sub 1 Twist	5.43	821976
(C) P/B w/white powder sub (1 Twist)	5.58	821977
(D) P/B w/white chunk/powder sub (1 Twist)	5.03	821978

Received by: 

**Date:**

8-9-67

3

PRELIM: Heroin

NO. 821975

DATE ANALYZED: 9/12/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 4 ASD

NET WEIGHT: 0.40

• 2KAC

QUANT:

FINDINGS: ~~Heroin~~

PRELIM: Cocaine

NO. 821976

DATE ANALYZED: 9/13/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 6 ASD

NET WEIGHT: 0.53

• 2KAC

QUANT:

FINDINGS: Cocaine

3

PRELIM: Cocaine (10)

NO. 821978

DATE ANALYZED: 9/14/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.03

# TESTS: 6 ASD  
• 2KAC

NET WEIGHT: 0.15

FINDINGS: Cocaine

QUANT:

PRELIM: Cocaine

NO. 821977

DATE ANALYZED: 9/17/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.58

# TESTS: 6 ASD  
• 2KAC

NET WEIGHT: 0.34

FINDINGS: Cocaine

QUANT:

DRUG POWDER ANALYSIS FORM

4

SAMPLE # 821975 AGENCY Salem ANALYST AS9

No. of samples tested:           

Evidence Wt.           

PHYSICAL DESCRIPTION:

Beige powdered substance  
in 1 pb  
double bagged

Gross Wt ( ): 0.6560

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.4044

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis +

Froehde's +

Mecke's +

Microcrystalline Tests

Gold  
Chloride           

TLTA ( )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Heroin

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Heroin

MS  
OPERATOR KAC

DATE 9-12-07

Revised 7/2005

.....

Evidence Wt. \_\_\_\_\_

Net Wt: 0.5398

white powdered substance  
in ps

**R 519**



# DRUG POWDER ANALYSIS FORM

SAMPLE # 821977 AGENCY Salem ANALYST ASD

No. of samples tested:           

Evidence Wt.           

## PHYSICAL DESCRIPTION:

white powdered substance  
in 1 pb  
double bagged

Gross Wt ( ): 0.7725

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.5445

## PRELIMINARY TESTS

### Spot Tests

Cobalt  
Thiocyanate (+)

Marquis -

Froehde's -

Mecke's -

### Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

### OTHER TESTS

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-05-07

## GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 09-17-07

Revised 7/2005

# DRUG POWDER ANALYSIS FORM

SAMPLE # 821978 AGENCY Salem ANALYST ASD

No. of samples tested:           

Evidence Wt.           

## PHYSICAL DESCRIPTION:

off white chunky substance  
in 1 pb

Gross Wt ( 1 ): 0.2292

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.1520

## PRELIMINARY TESTS

### Spot Tests

Cobalt  
Thiocyanate ( - ) +

Marquis -

Froehde's -

Mecke's -

### Microcrystalline Tests

Gold  
Chloride +

TLTA ( - ) +

### OTHER TESTS

## PRELIMINARY TEST RESULTS

RESULTS cocaine

DATE 09-03-07

## GC/MS CONFIRMATORY TEST

RESULTS cocaine

MS  
OPERATOR KAC

DATE 9-14-07

Revised 7/2005

GC/MS

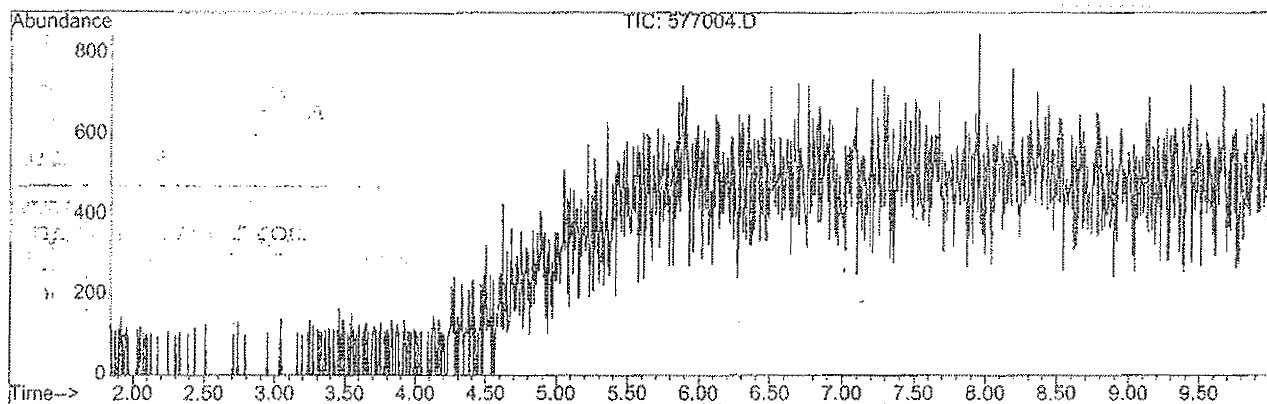
DATA

5

39 Pgs

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\577004.D  
Operator : KAC  
Date Acquired : 11 Sep 2007 10:58  
Sample Name : BLANK  
Submitted by :  
Vial Number : 1  
AcquisitionMeth: DRUGS  
Integrator : RTE



Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

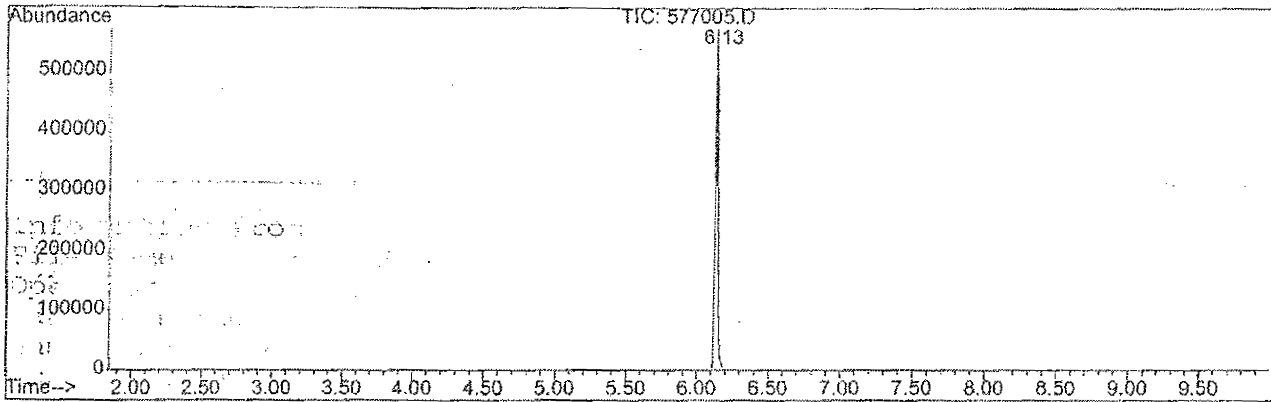
# Area Percent / Library Search Report

---

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577005.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 11:11  
 Sample Name : HEROIN STD  
 Submitted by :  
 Vial Number : 5  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

---




---

Ret. Time	Area	Area %	Ratio %
6.133	754471	100.00	100.00

---

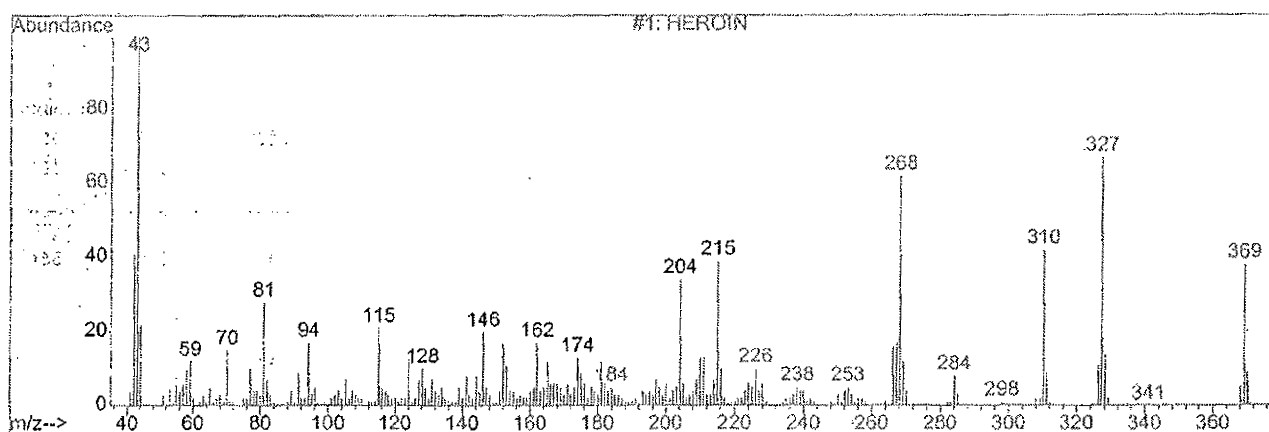
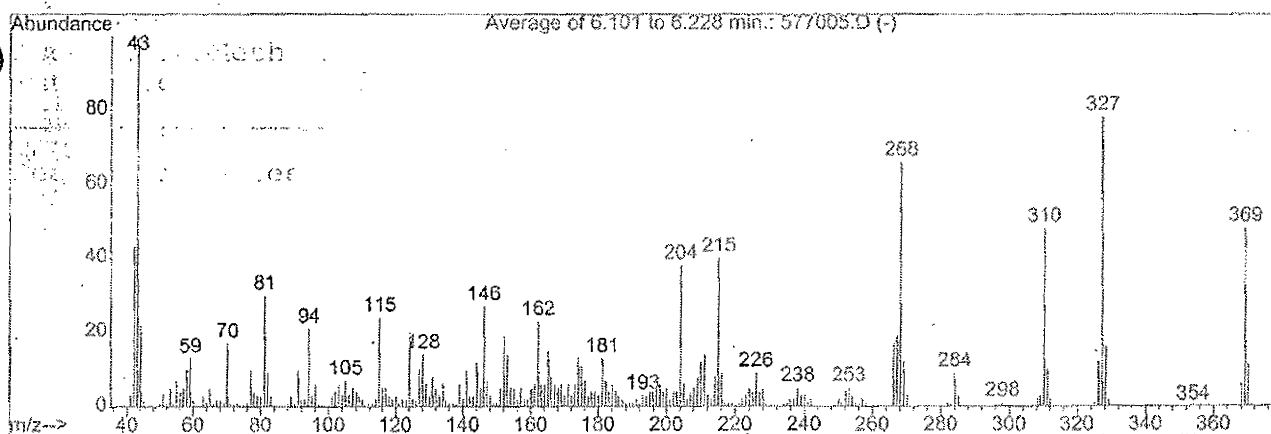
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577005.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 11:11  
 Sample Name : HEROIN STD  
 Submitted by :  
 Vial Number : 5  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

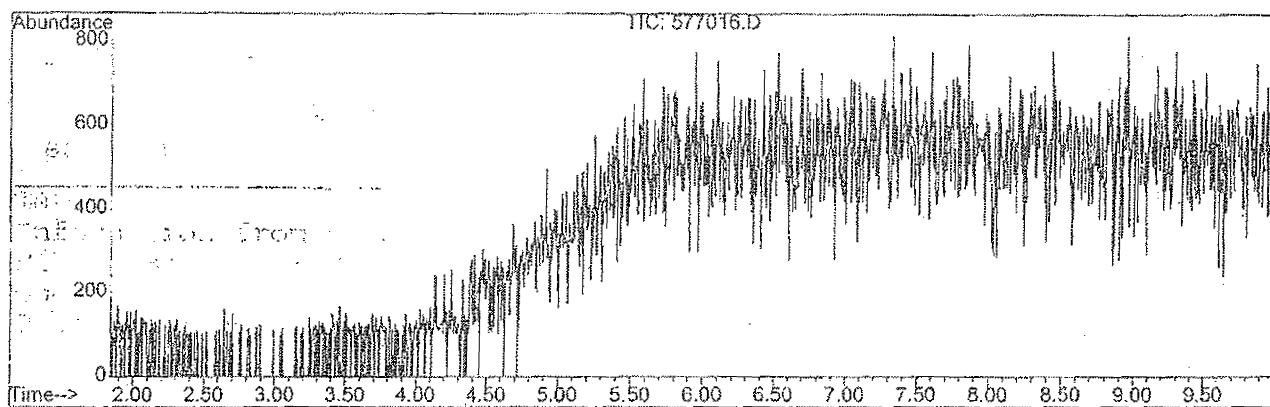
PK#	RT	Library/ID	CAS#	Qual
1	6.13	C:\DATABASE\SLI.L HEROIN	000561-27-3	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\577016.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 13:44  
 Sample Name : BLANK  
 Submitted by : ASD  
 Vial Number : 1  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



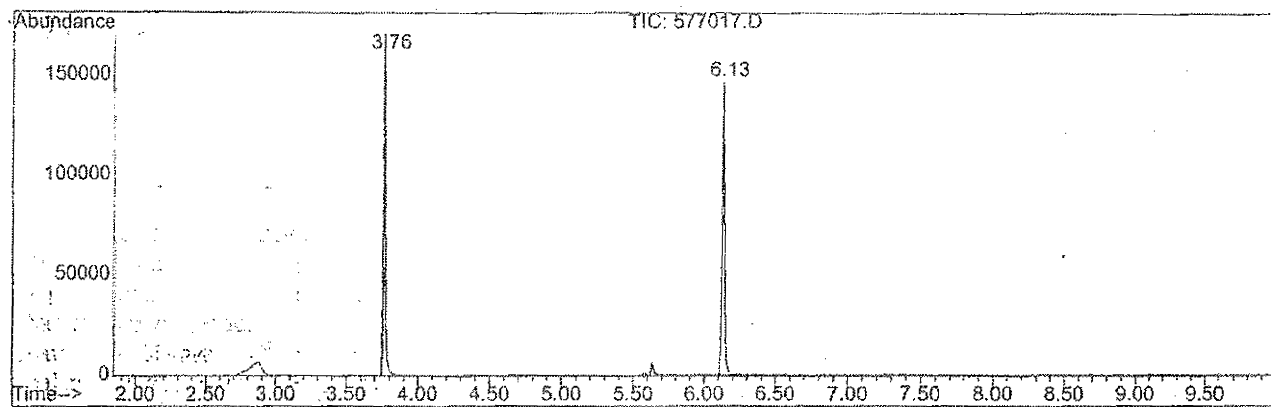
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\577017.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 13:58  
 Sample Name : 821975  
 Submitted by : ASD  
 Vial Number : 17  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Acq. Meth: DRUGS

Ret. Time	Area	Area %	Ratio %
3.763	158009	46.30	86.21
6.127	183277	53.70	100.00

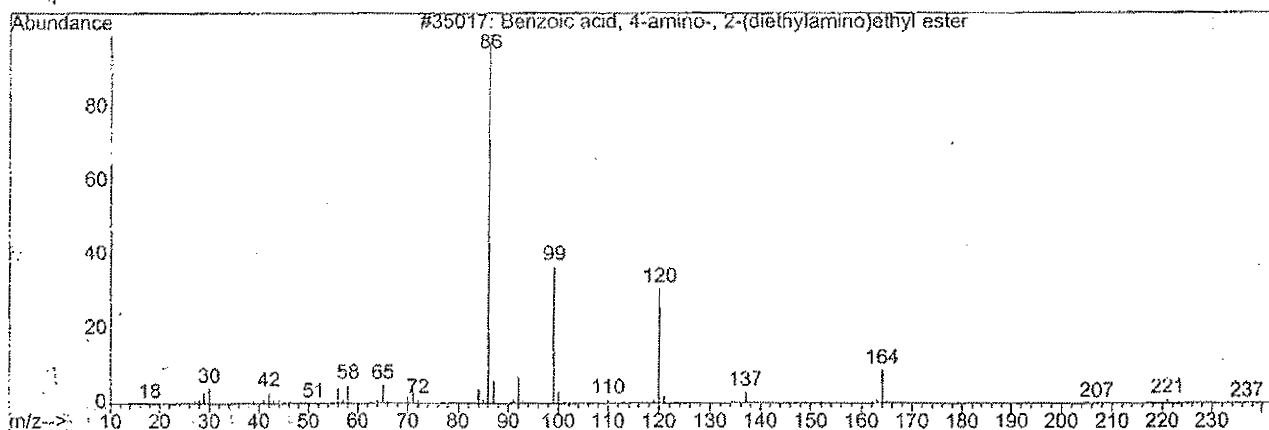
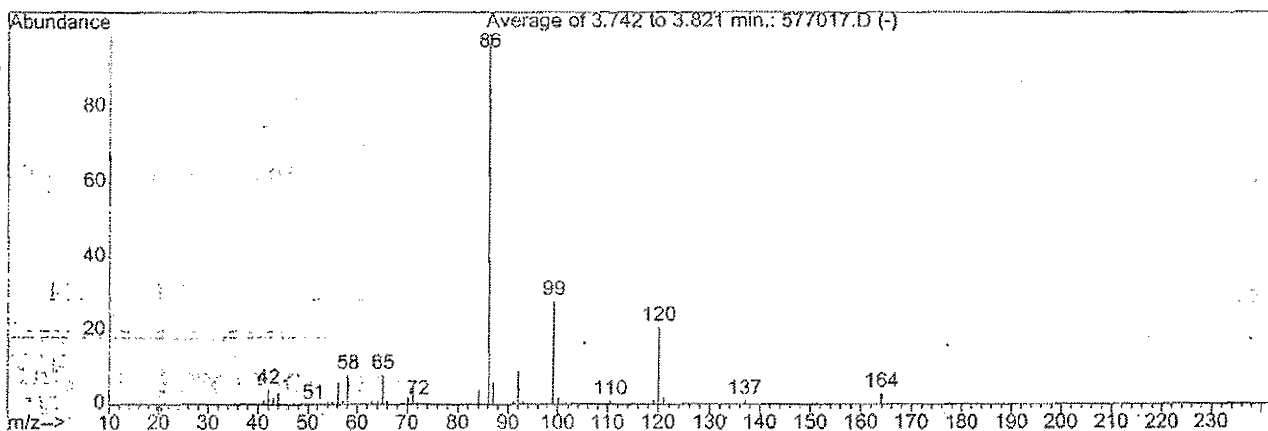
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577017.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 13:58  
 Sample Name : 821975  
 Submitted by : ASD  
 Vial Number : 17  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

PK#	RT	Library/ID	CAS#	Qual
1	3.76	C:\DATABASE\NIST98.L		
		Benzoic acid, 4-amino-, 2-(diethyla	000059-46-1	90
		Benzamide, 4-amino-N-[2-(diethylami	000051-06-9	72
		3-Aminobenzoic acid, 2-diethylamino	1000193-23-3	72





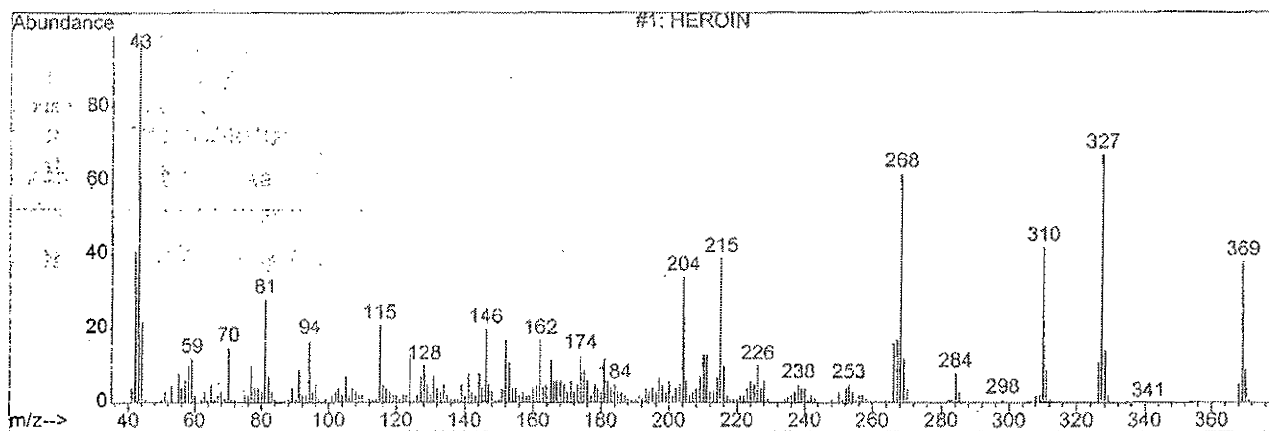
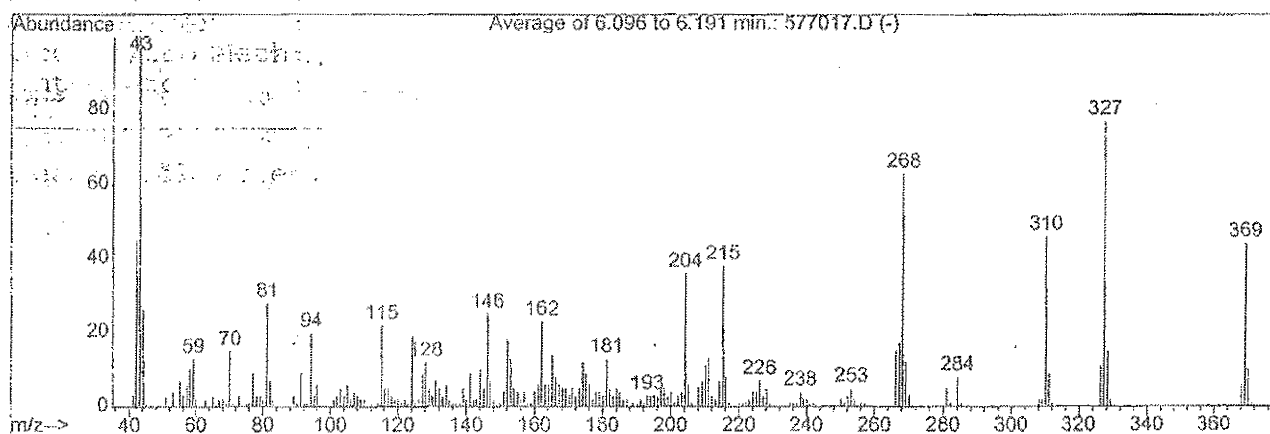
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577017.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 13:58  
 Sample Name : 821975  
 Submitted by : ASD  
 Vial Number : 17  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

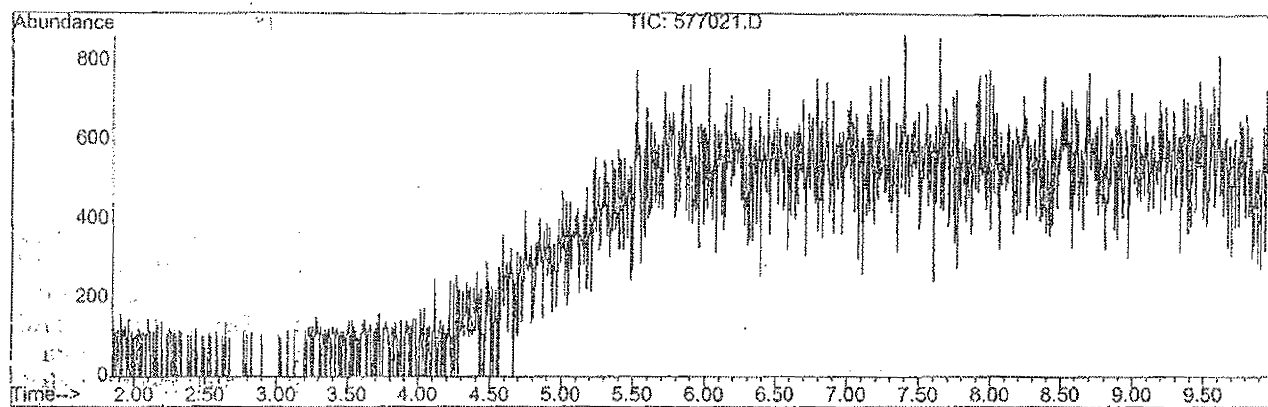
PK#	RT	Library/ID	CAS#	Qual
2	6.13	C:\DATABASE\SLI.L HEROIN	000561-27-3	97



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\577021.D  
Operator : KAC  
Date Acquired : 11 Sep 2007 14:53  
Sample Name : BLANK  
Submitted by :  
Vial Number : 1  
AcquisitionMeth: DRUGS  
Integrator : RTE

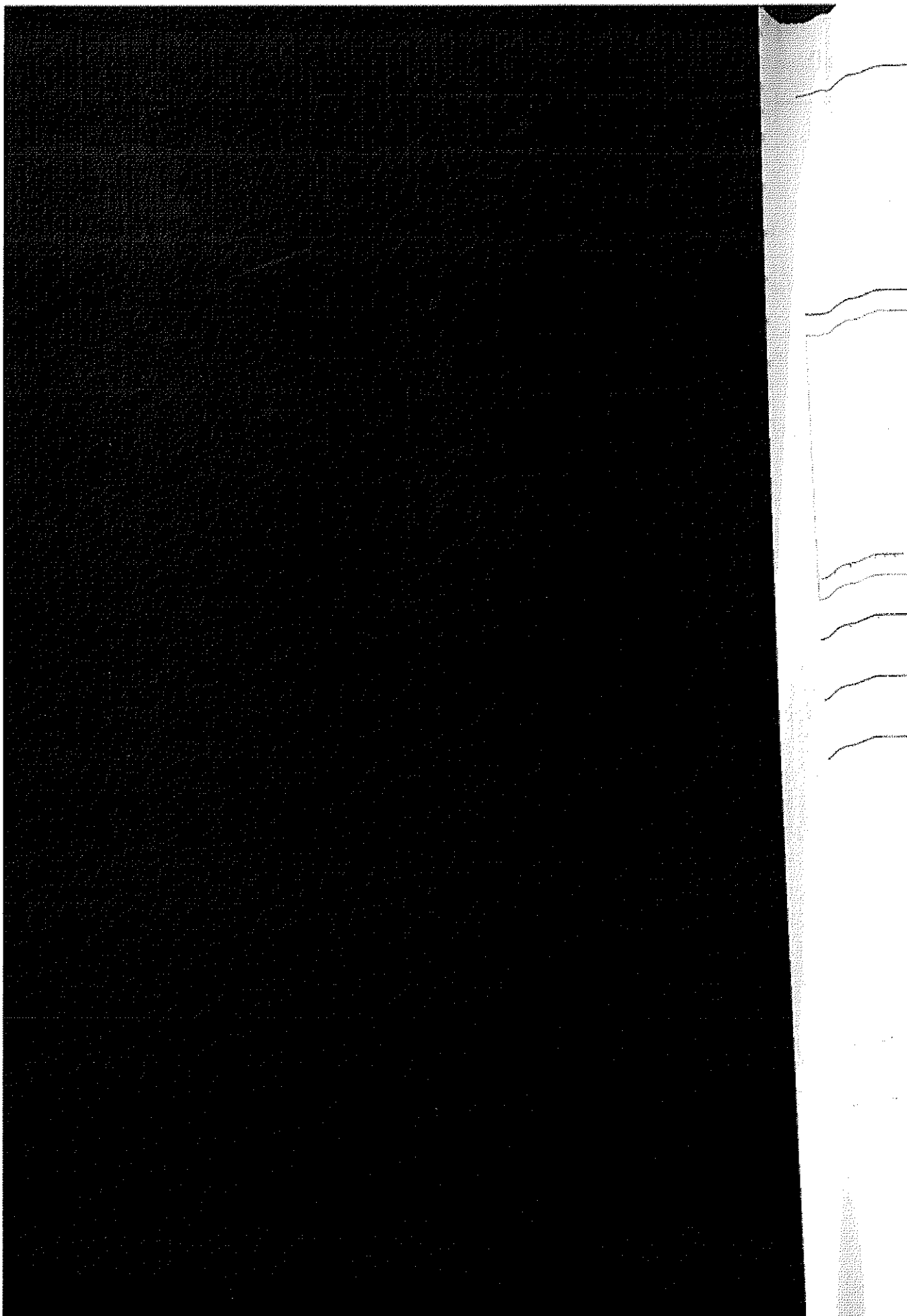


AcquisitionMeth: DRUGS

Integrator: RTE

Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*



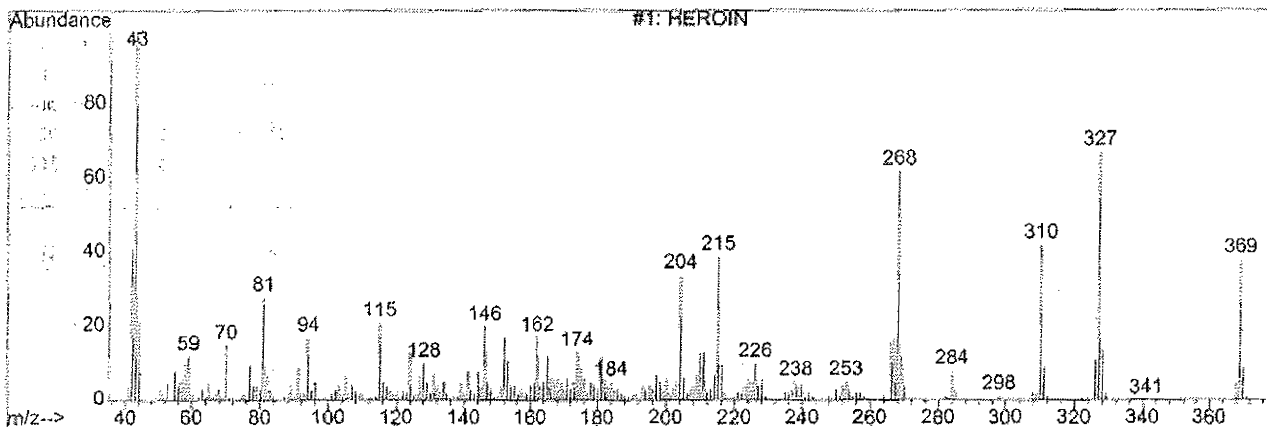
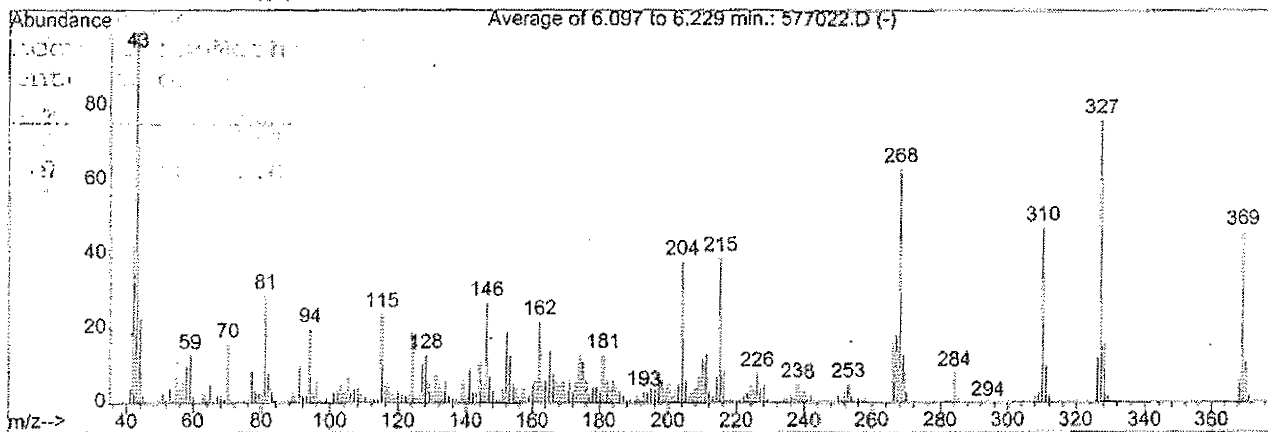
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577022.D  
 Operator : KAC  
 Date Acquired : 11 Sep 2007 15:07  
 Sample Name : HEROIN STD  
 Submitted by :  
 Vial Number : 22  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

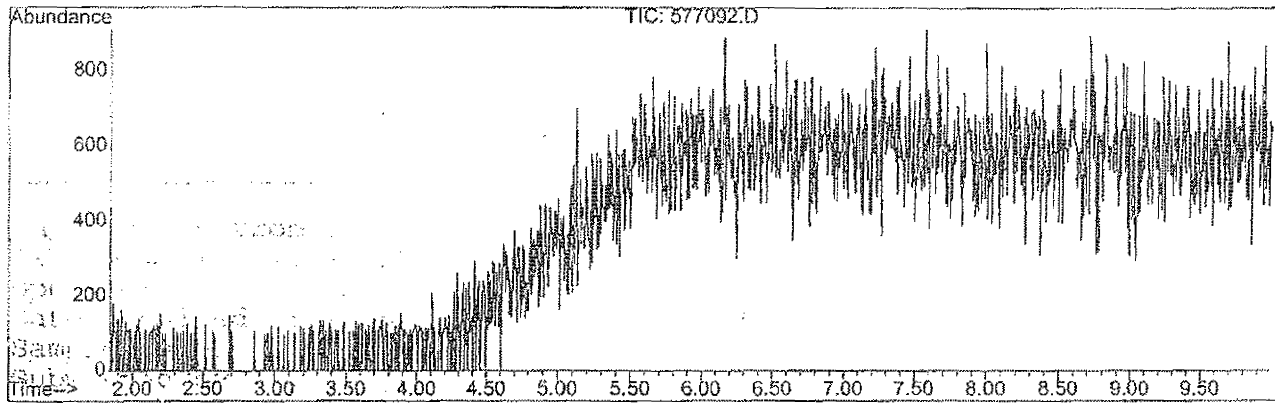
PK#	RT	Library/ID	CAS#	Qual
1	6.13	C:\DATABASE\SLI.L HEROIN	000561-27-3	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\577092.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 7:11  
Sample Name : BLANK  
Submitted by :  
Vial Number : 2  
AcquisitionMeth: DRUGS  
Integrator : RTE



Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

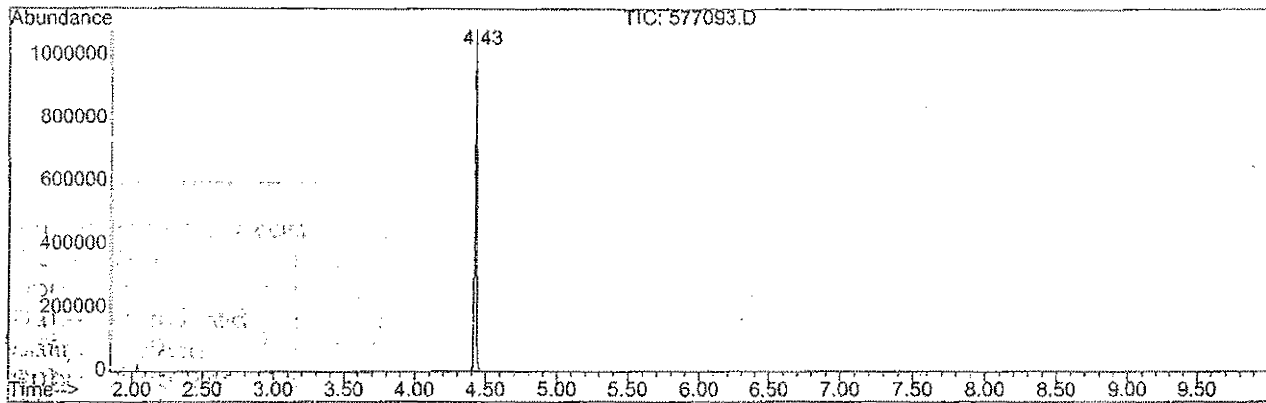
# Area Percent / Library Search Report

---

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577093.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 7:25  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 93  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

---




---

Ret. Time	Area	Area %	Ratio %
4.425	1013663	100.00	100.00

---

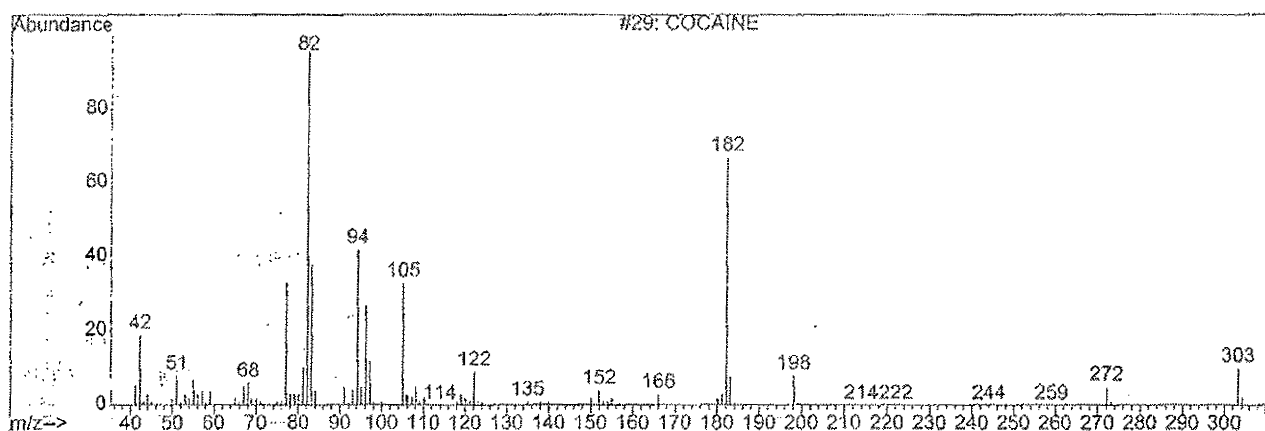
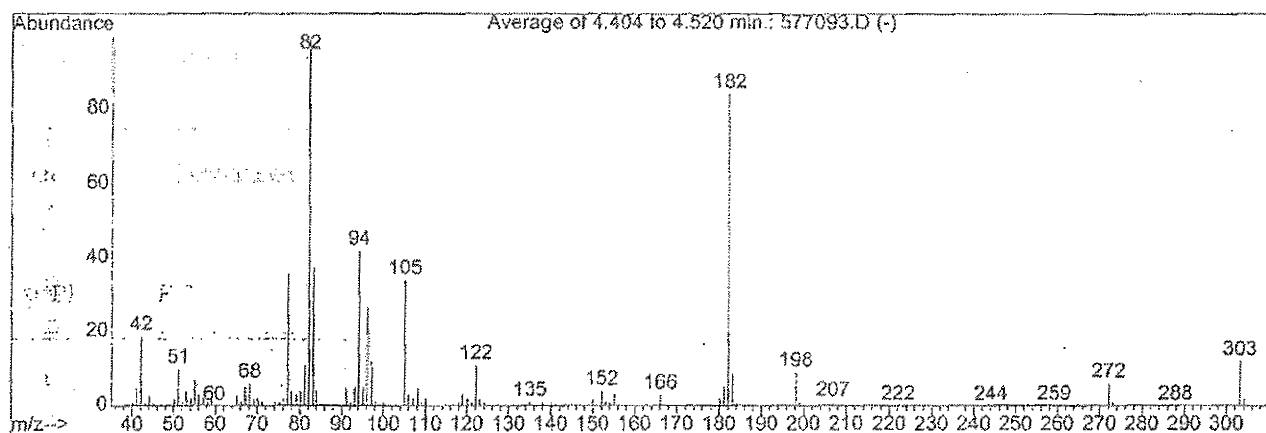
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\577093.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 7:25  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 93  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

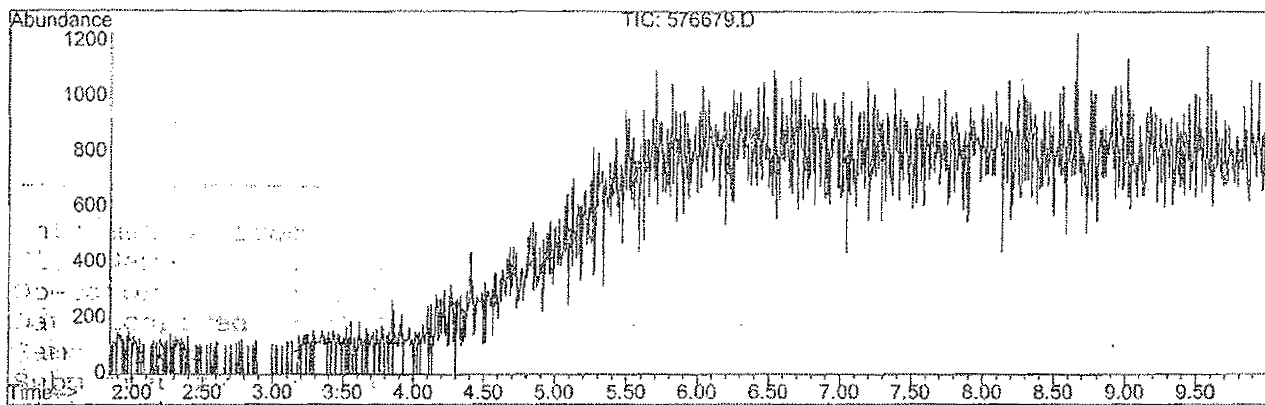
PK#	RT	Library/ID	CAS#	Qual
1	4.43	C:\DATABASE\SLI.L COCAINE	000050-36-2	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\576679.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 11:19  
 Sample Name : BLANK  
 Submitted by : ASD  
 Vial Number : 2  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

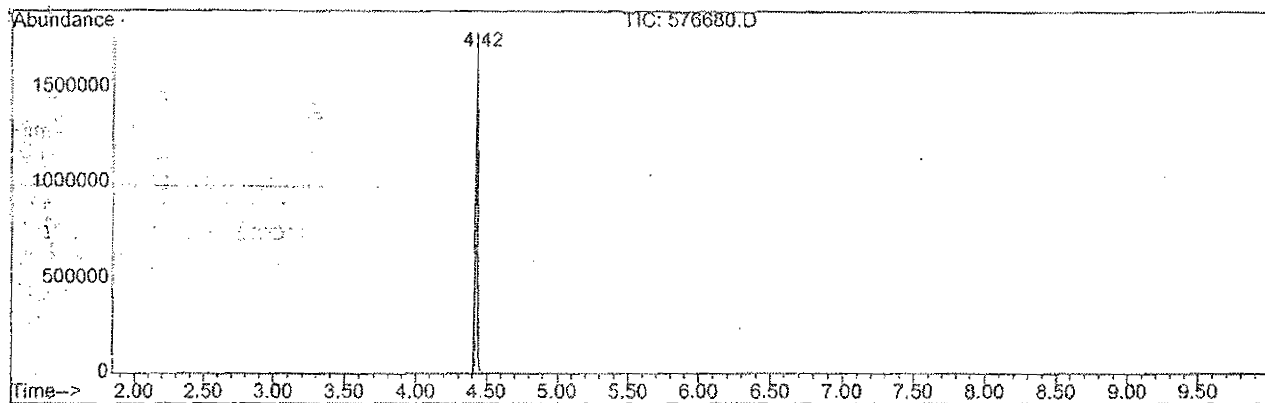
\*\*\*NO INTEGRATED PEAKS\*\*\*



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\576680.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 11:33  
 Sample Name : 821976  
 Submitted by : ASD  
 Vial Number : 14  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.424	1859382	100.00	100.00

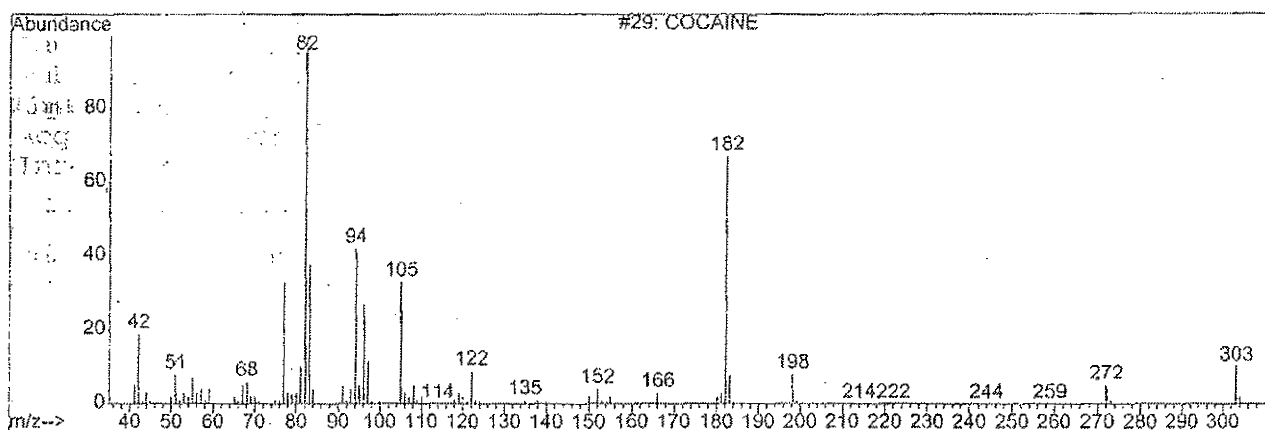
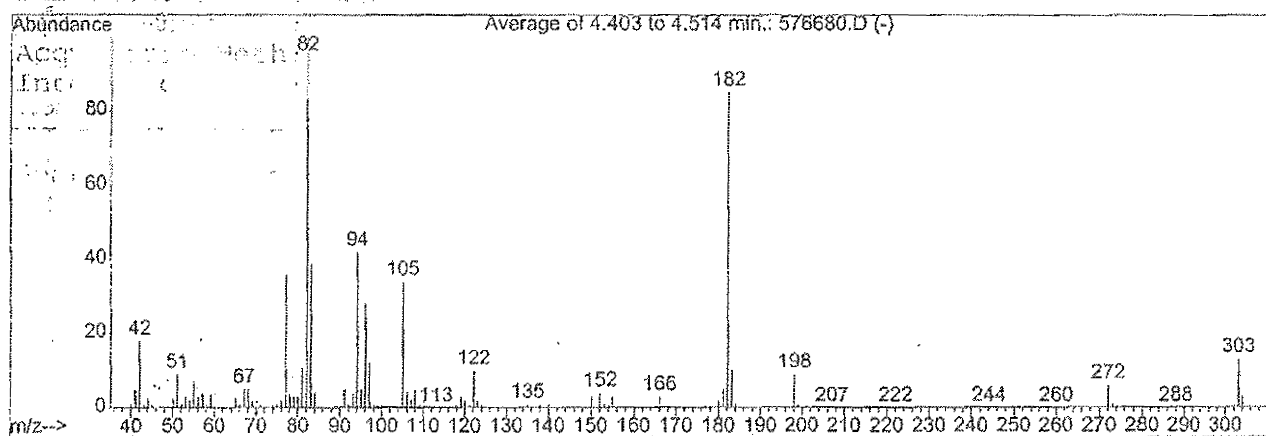
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\576680.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 11:33  
 Sample Name : 821976  
 Submitted by : ASD  
 Vial Number : 14  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

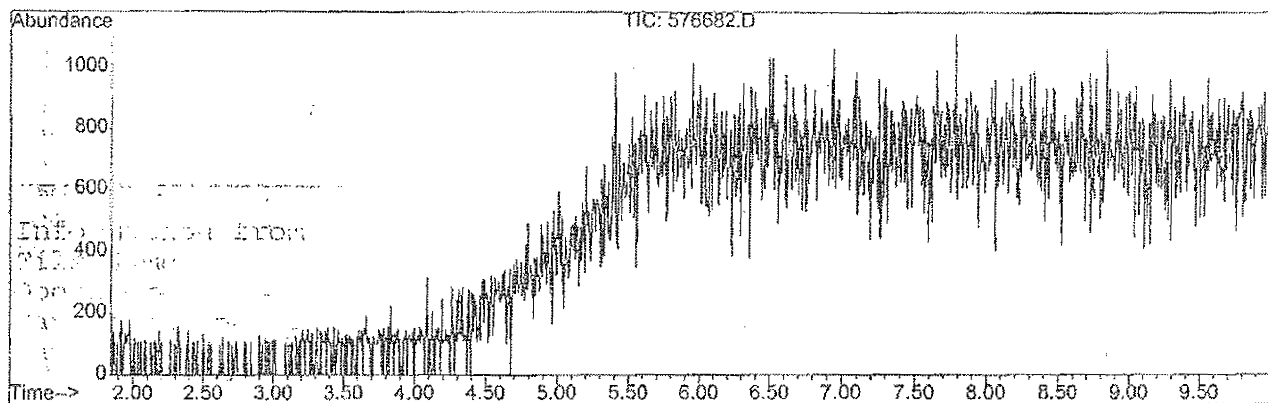
PK#	RT	Library/ID	CAS#	Qual
1	4.42	C:\DATABASE\SLI.L COCAINE	000050-36-2	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_11\_07\576682.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 12:00  
Sample Name : BLANK  
Submitted by :  
Vial Number : 2  
AcquisitionMeth: DRUGS  
Integrator : RTE



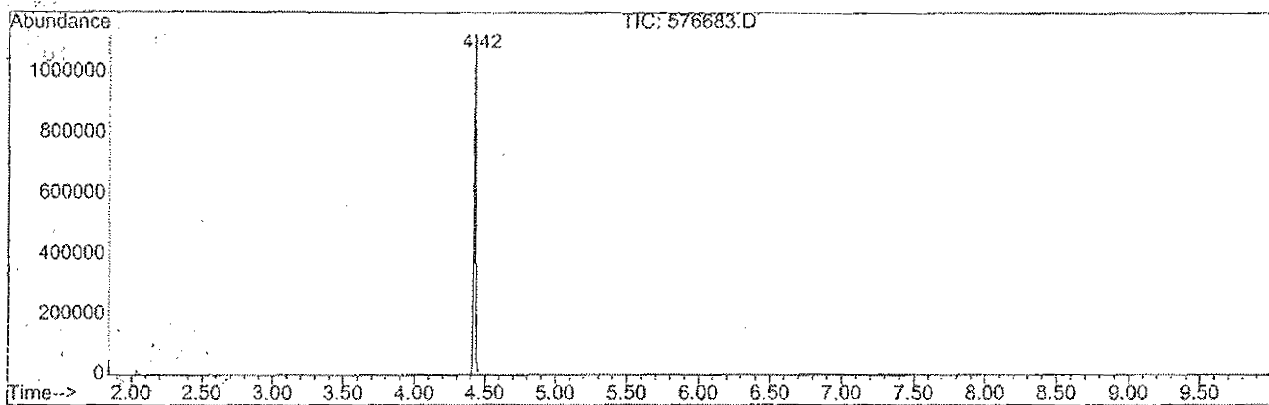
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\576683.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 12:14  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 93  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.424	1010380	100.00	100.00

# Area Percent / Library Search Report

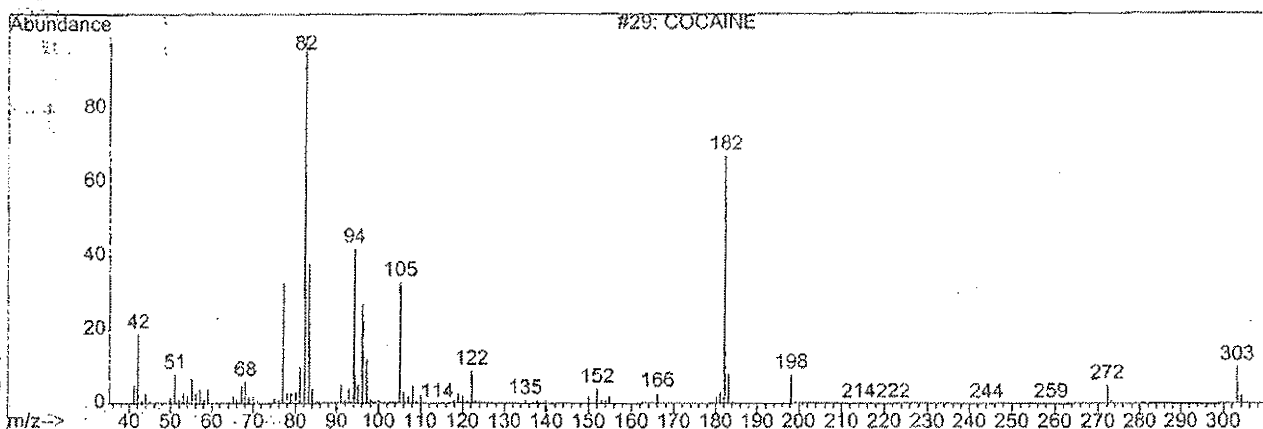
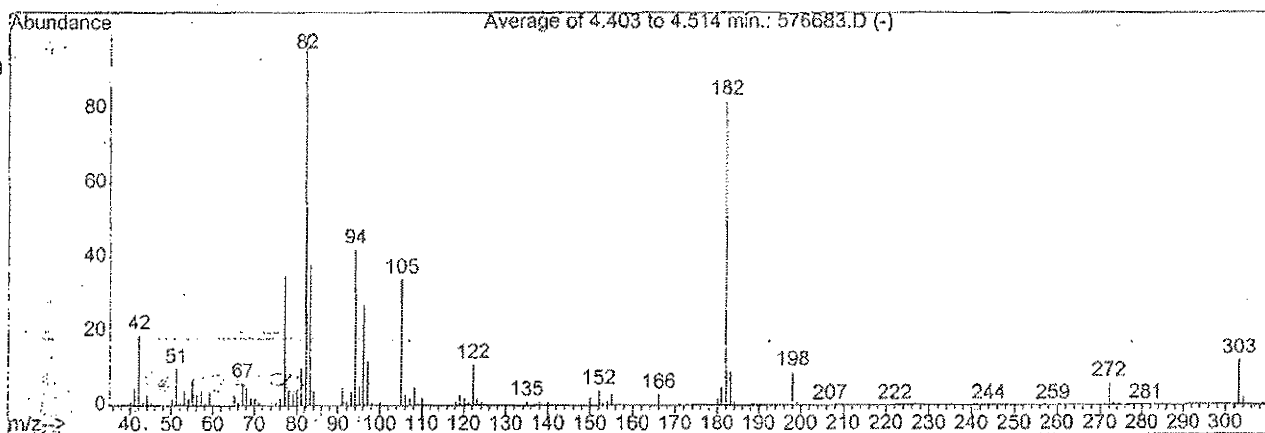
**Information from Data File:**

File Name : E:\SYSTEM4\09\_11\_07\576683.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 12:14  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 93  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

PK#	RT	Library/ID	CAS#	Qual
-----	----	------------	------	------

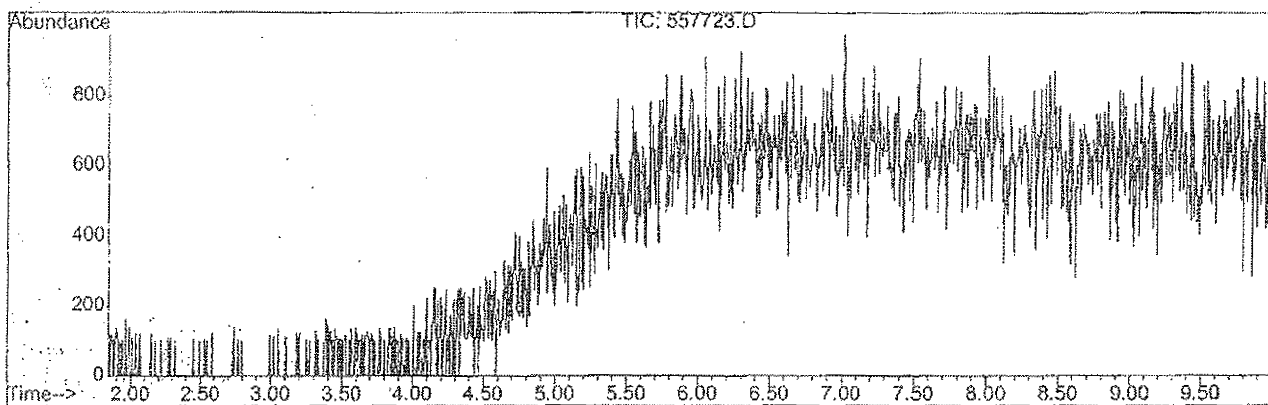
4.42	4.42	C:\DATABASE\SLI.L COCAINE	000050-36-2	99
------	------	------------------------------	-------------	----



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_14\_07\557723.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 19:09  
 Sample Name : BLANK  
 Submitted by :  
 Vial Number : 1  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



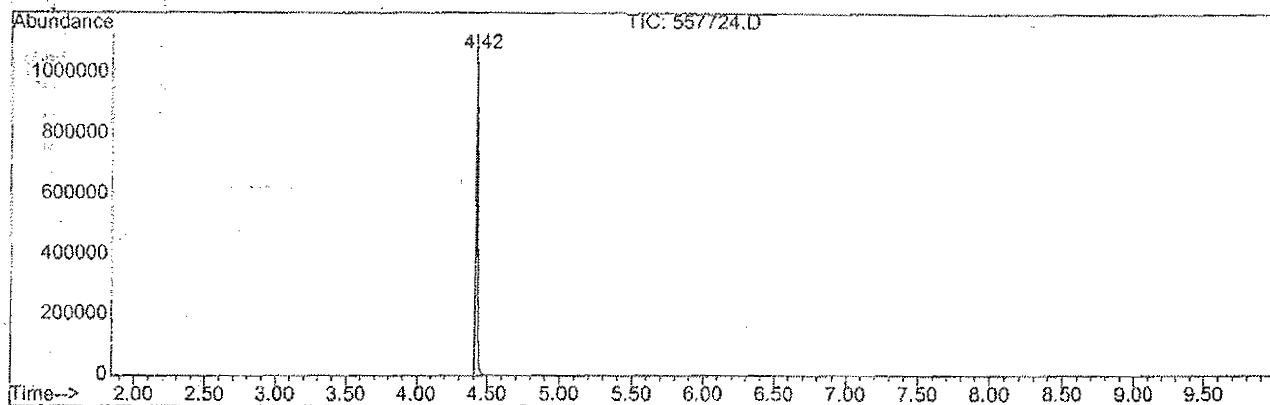
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_14\_07\557724.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 19:23  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 24  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.420	1001485	100.00	100.00

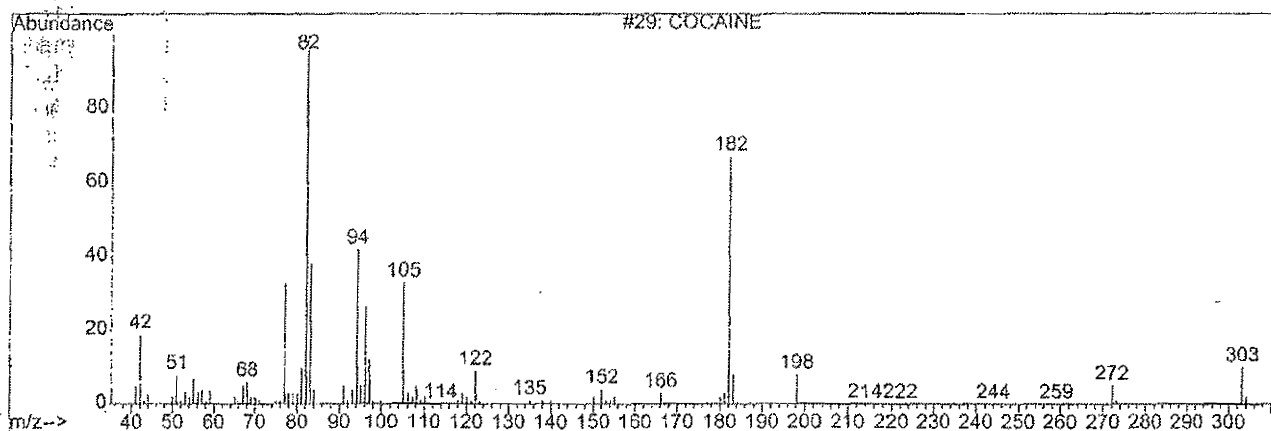
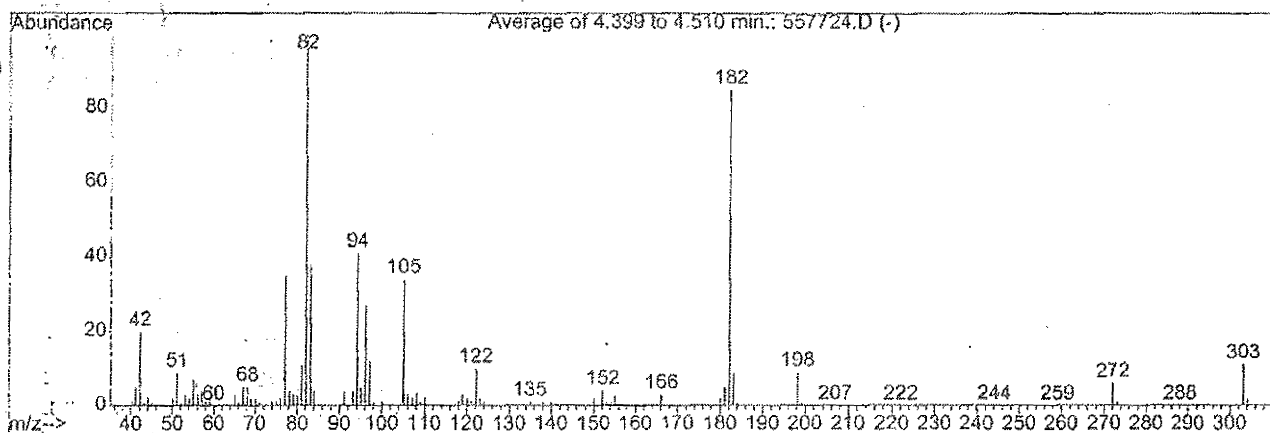
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_14\_07\557724.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 19:23  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 24  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

PK#	RT	Library/ID	CAS#	Qual
1	4.42	C:\DATABASE\SLI.L COCAINE	000050-36-2	99

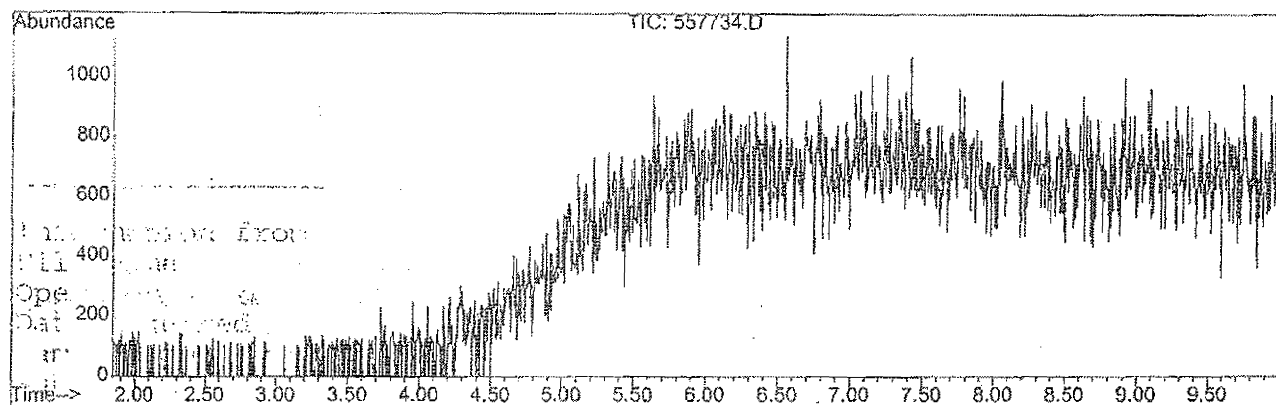




# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_14\_07\557734.D  
Operator : KAC  
Date Acquired : 14 Sep 2007 21:40  
Sample Name : BLANK  
Submitted by : ASD  
Vial Number : 1  
AcquisitionMeth: DRUGS  
Integrator : RTE



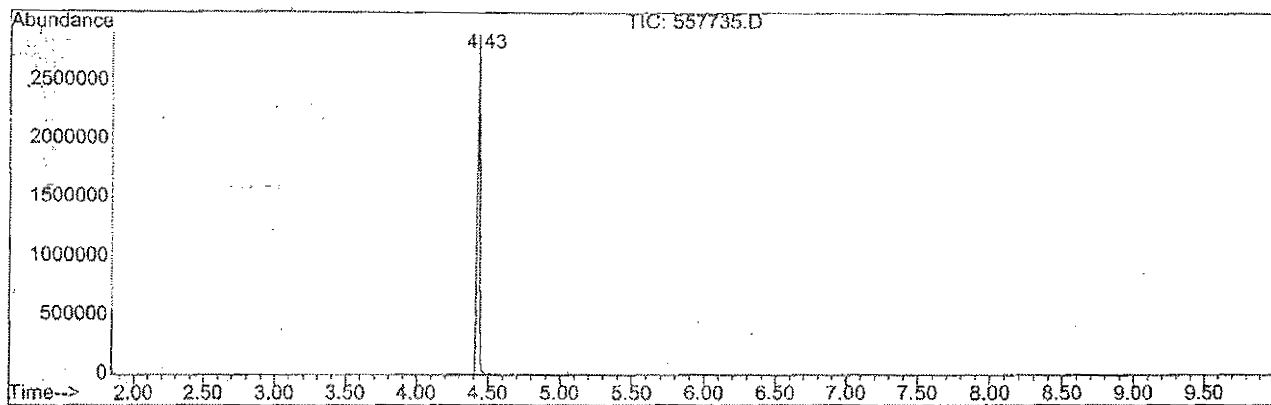
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_14\_07\557735.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 21:54  
 Sample Name : 821977  
 Submitted by : ASD  
 Vial Number : 35  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.435	3612298	100.00	100.00

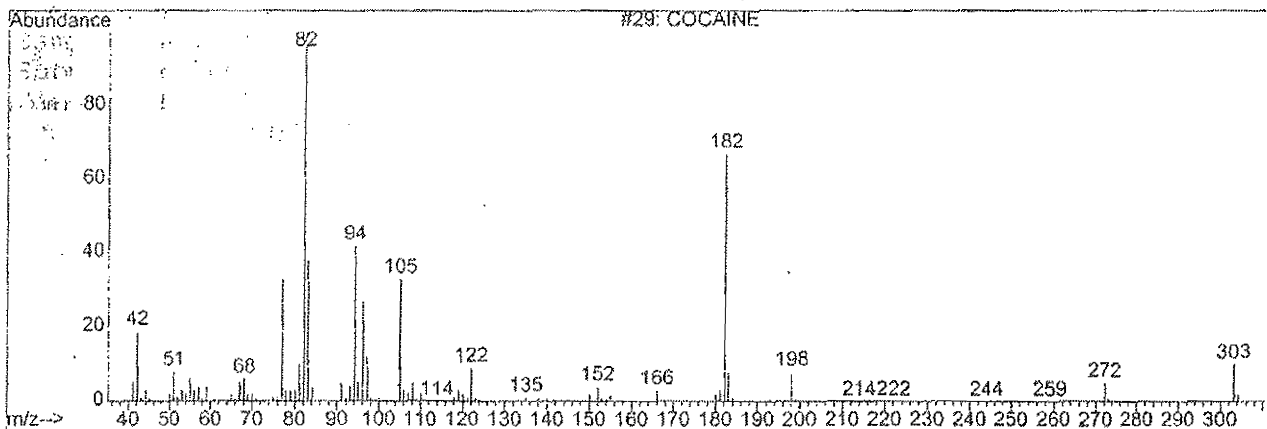
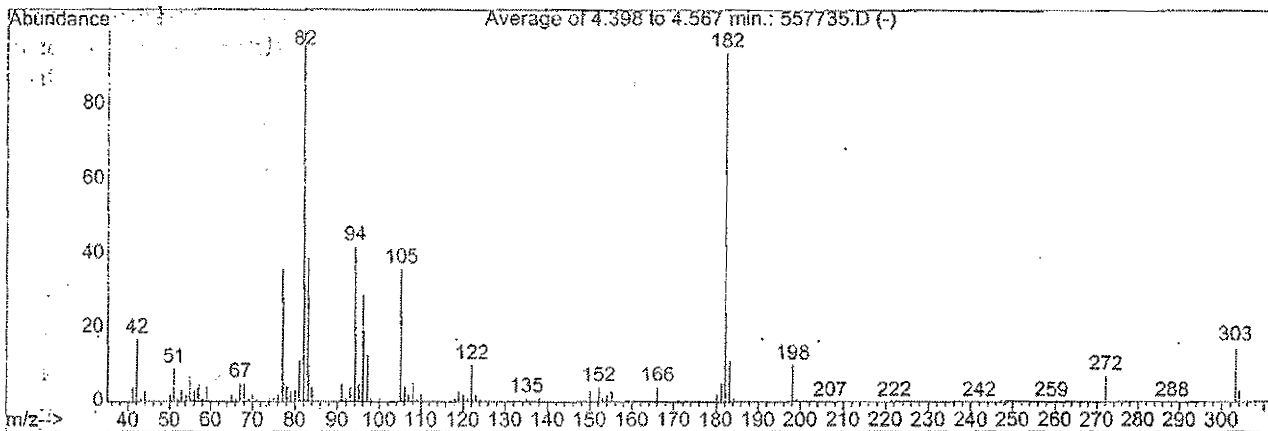
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM4\09\_14\_07\557735.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 21:54  
 Sample Name : 821977  
 Submitted by : ASD  
 Vial Number : 35  
 AcquisitionMeth: DRUGS  
 Integrator : RTE

Search Libraries: C:\DATABASE\SLI.L Minimum Quality: 90  
 C:\DATABASE\PMW\_TOX2.L Minimum Quality: 90  
 C:\DATABASE\NIST98.L

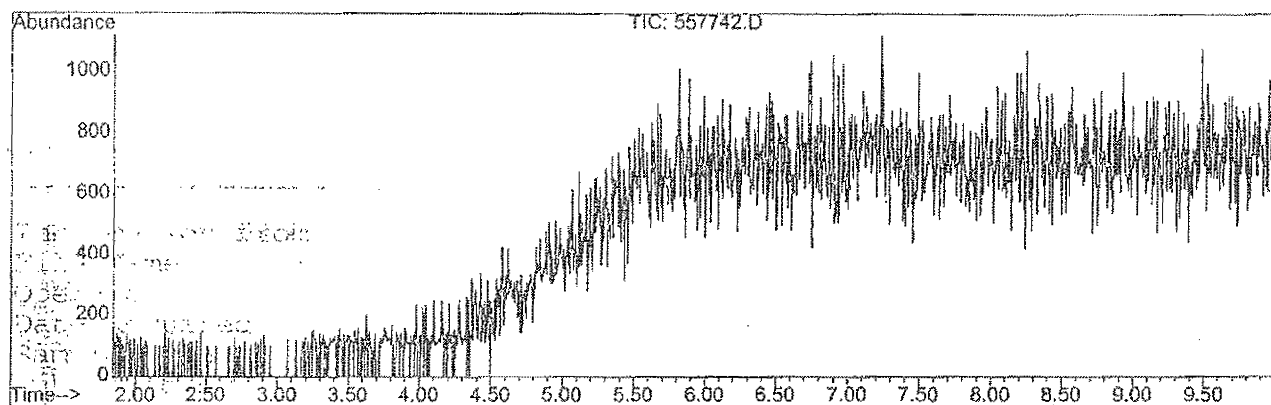
PK#	RT	Library/ID	CAS#	Qual
1	4.43	C:\DATABASE\SLI.L COCAINE	000050-36-2	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_14\_07\557742.D  
Operator : KAC  
Date Acquired : 14 Sep 2007 23:30  
Sample Name : BLANK  
Submitted by :  
Vial Number : 1  
AcquisitionMeth: DRUGS  
Integrator : RTE



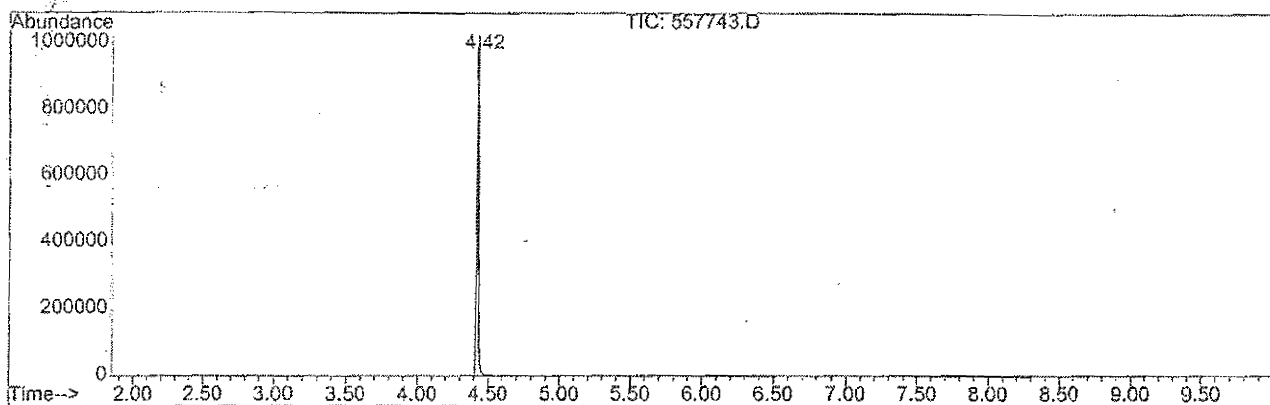
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM4\09\_14\_07\557743.D  
 Operator : KAC  
 Date Acquired : 14 Sep 2007 23:44  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 43  
 AcquisitionMeth: DRUGS  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.422	964161	100.00	100.00

# Area Percent / Library Search Report

**Information from Data File:**

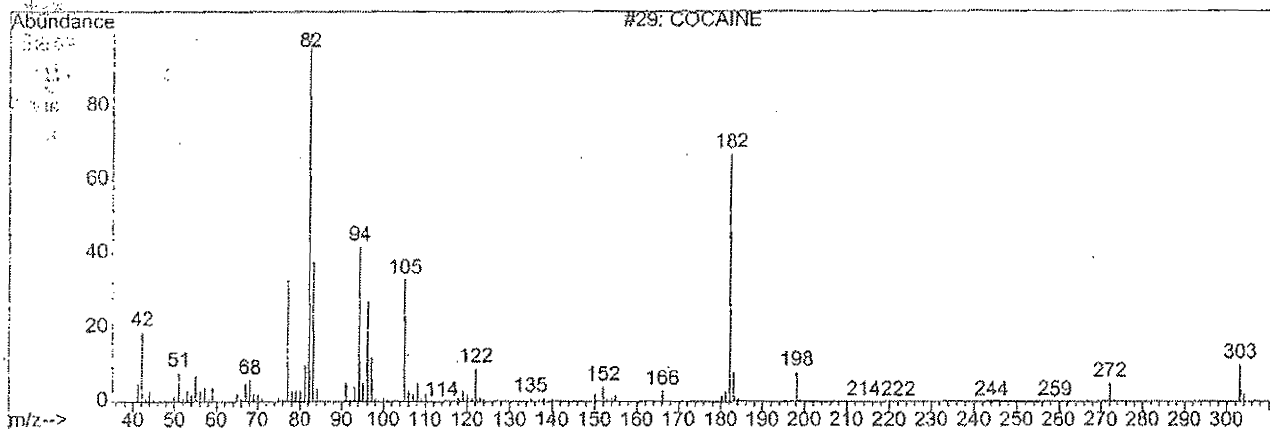
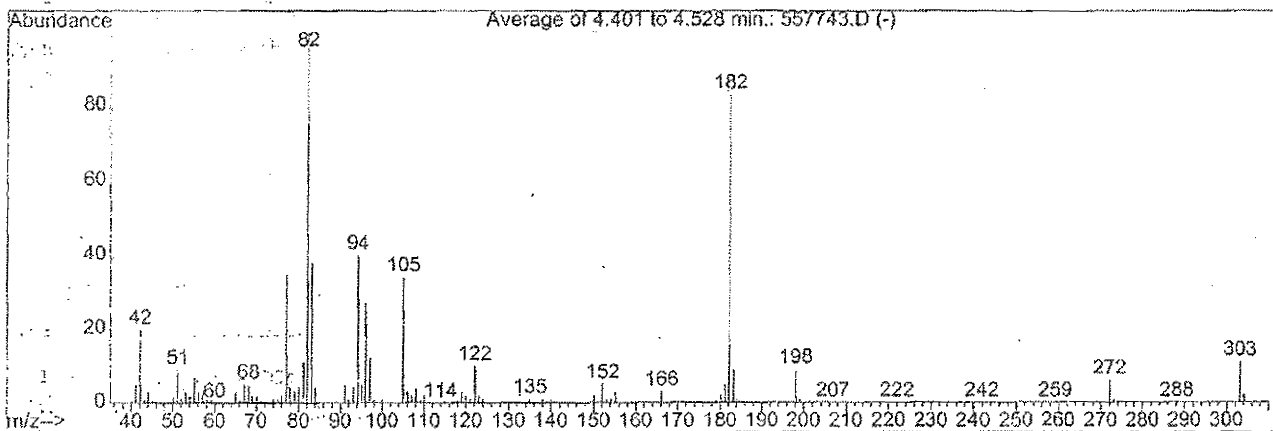
```

File Name       : E:\SYSTEM4\09_14_07\557743.D
Operator        : KAC
Date Acquired   : 14 Sep 2007   23:44
Sample Name     : COCAINE STD
Submitted by    :
Vial Number     : 43
AcquisitionMeth : DRUGS
Integrator      : RTE
  
```

```

Search Libraries: C:\DATABASE\SLI.L           Minimum Quality: 90
                  C:\DATABASE\PMW_TOX2.L      Minimum Quality: 90
                  C:\DATABASE\NIST98.L
  
```

PK#	RT	Library/ID	CAS#	Qual
1	4.42	C:\DATABASE\SLI.L COCAINE	000050-36-2	99



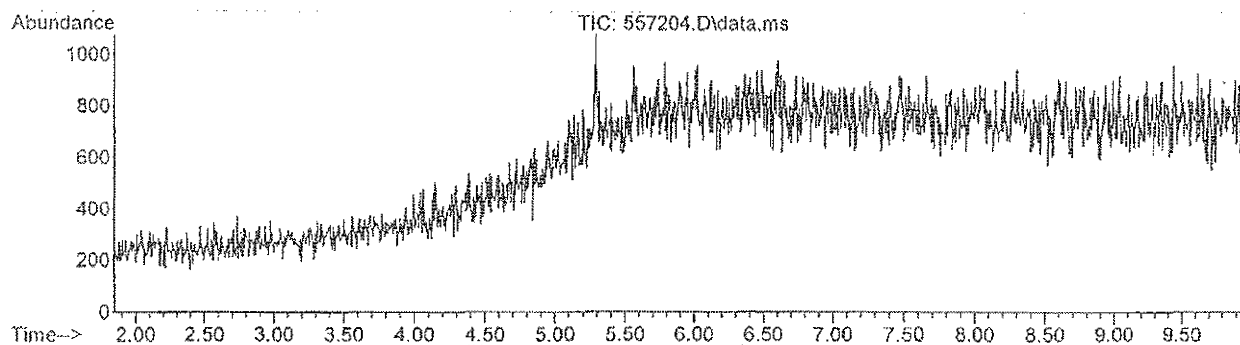
557743.D: Fri Aug 22 13:13:14 2008

Page 2

# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557204.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 8:28  
 Sample Name : BLANK  
 Submitted by :  
 Vial Number : 1  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE



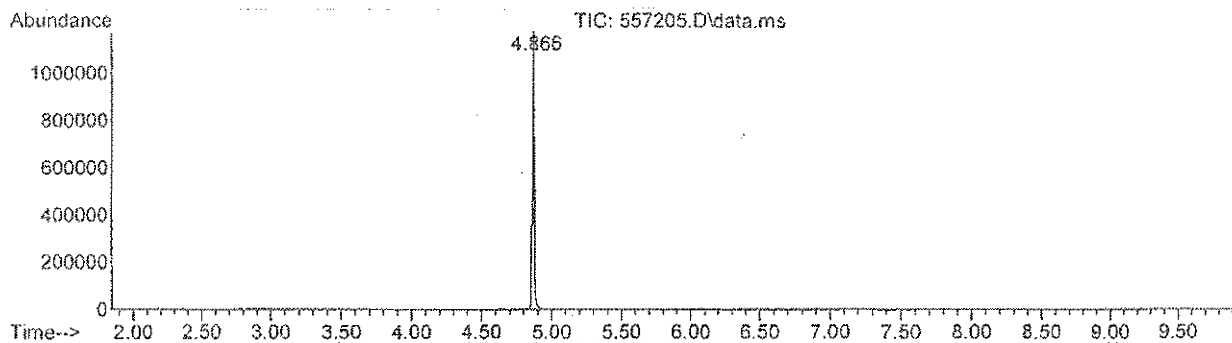
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557205.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 8:41  
 Sample Name : COCAINE STD  
 Submitted by :  
 Vial Number : 5  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.866	1137622	100.00	100.00



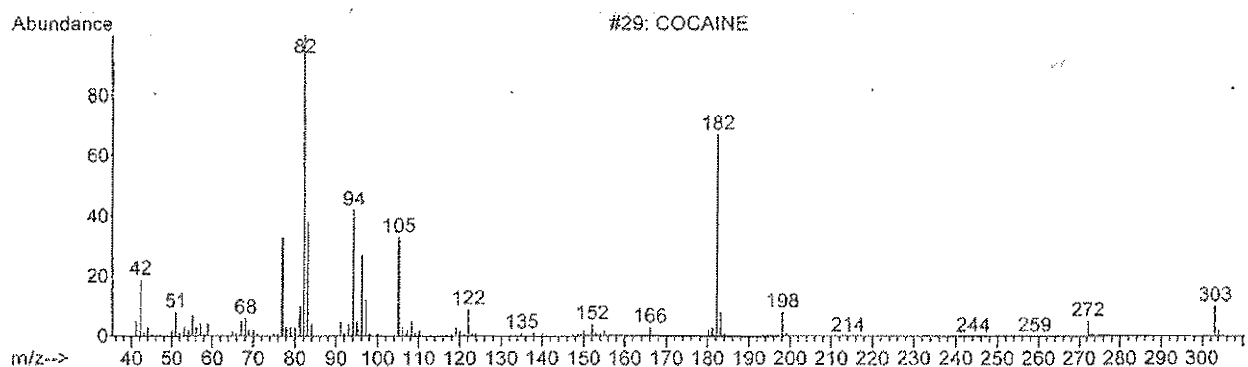
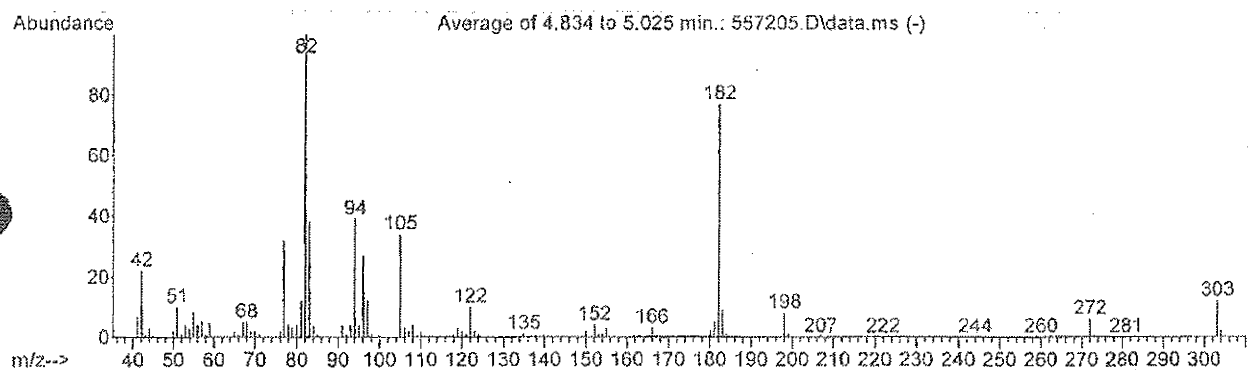
## Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557205.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 8:41  
Sample Name : COCAINE STD  
Submitted by :  
Vial Number : 5  
AcquisitionMeth: DRUGS.M  
Integrator : RTE

Search Libraries: C:\Database\SLI.L Minimum Quality: 85  
C:\Database\PMW\_TOX2.L Minimum Quality: 85  
C:\Database\NIST05a.L

PK#	RT	Library/ID	CAS#	Qual
1	4.87	C:\Database\SLI.L COCAINE	000050-36-2	99



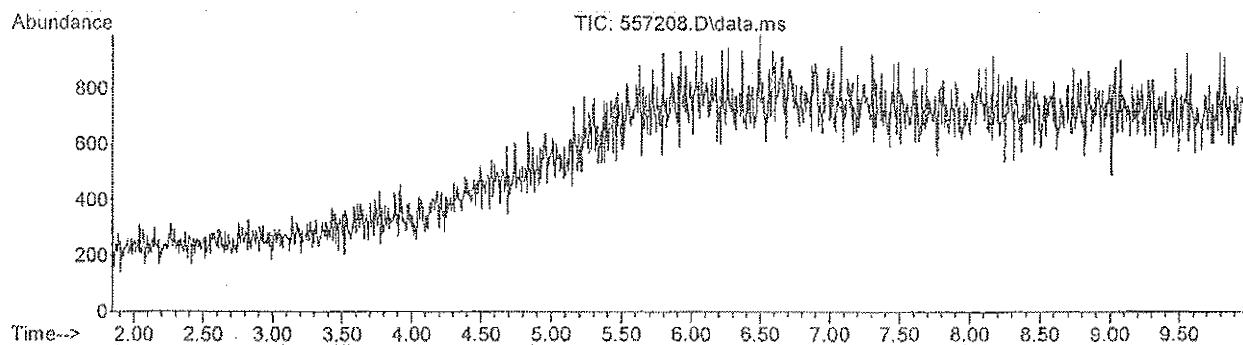
# Area Percent / Library Search Report

---

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557208.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 9:19  
Sample Name : BLANK  
Submitted by : ASD  
Vial Number : 1  
AcquisitionMeth: DRUGS.M  
Integrator : RTE

---



Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

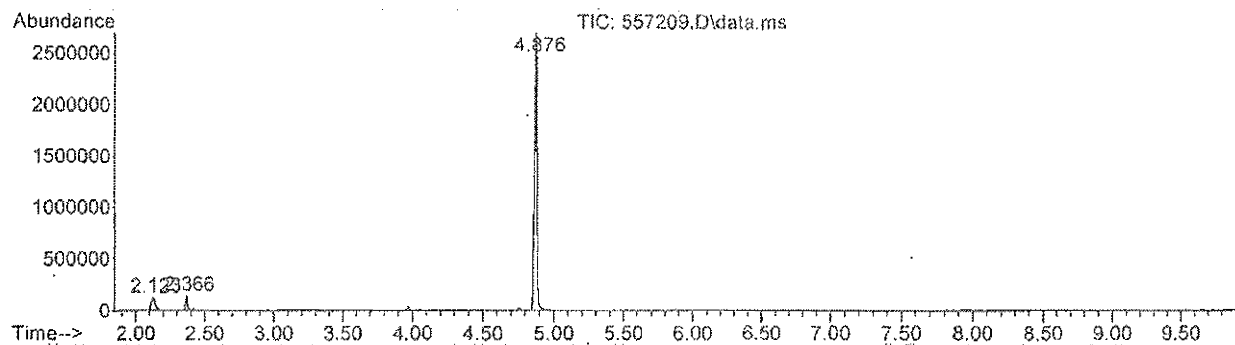
---

\*\*\*NO INTEGRATED PEAKS\*\*\*

# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557209.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 9:32  
 Sample Name : 821978  
 Submitted by : ASD  
 Vial Number : 9  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE



Ret. Time	Area	Area %	Ratio %
2.123	255748	6.70	7.49
2.366	148322	3.88	4.34
4.876	3415830	89.42	100.00

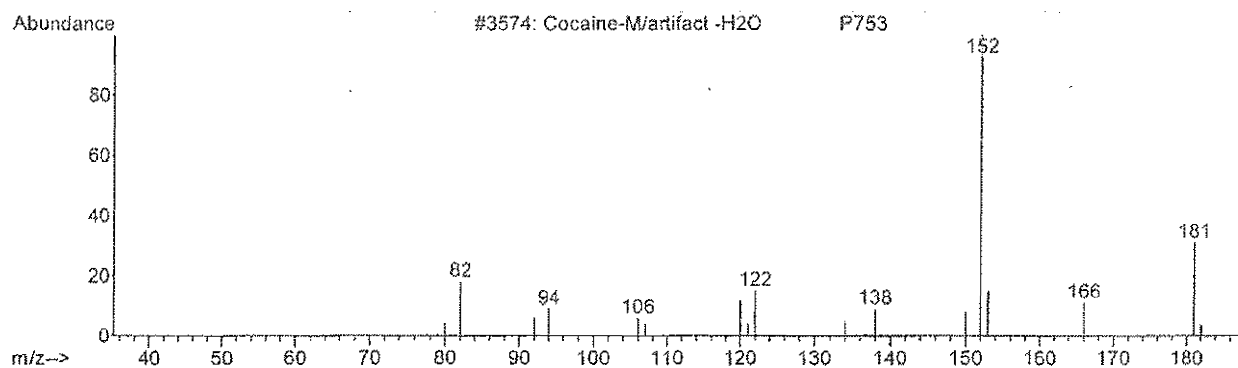
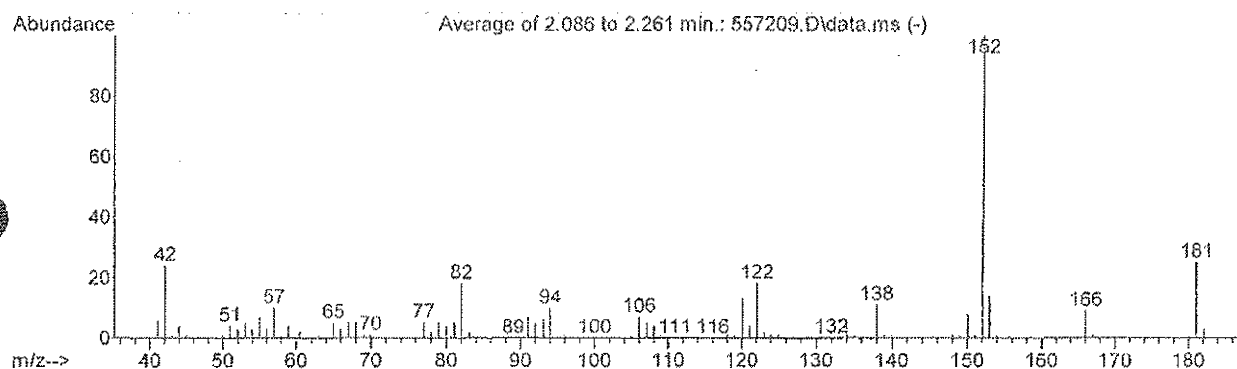
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM7\09\_12\_07\557209.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 9:32  
 Sample Name : 821978  
 Submitted by : ASD  
 Vial Number : 9  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE

Search Libraries: C:\Database\SLI.L Minimum Quality: 85  
 C:\Database\PMW\_TOX2.L Minimum Quality: 85  
 C:\Database\NIST05a.L

PK#	RT	Library/ID	CAS#	Qual
1	2.12	C:\Database\PMW_TOX2.L		
		Cocaine-M/artifact -H2O	000000-00-0	97
		MDA-M (desmethylenyl-methyl-) ME @	000000-00-0	40
		Metipranolol-M/artifact AC	000000-00-0	25



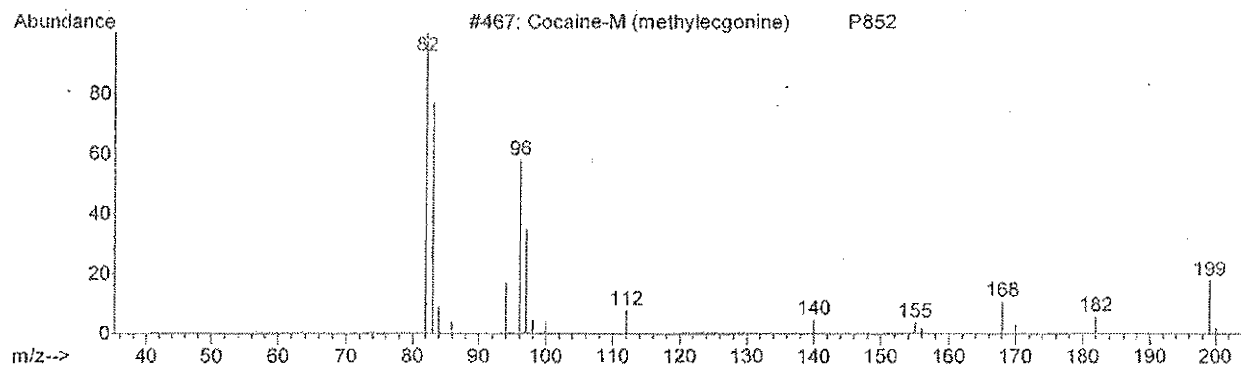
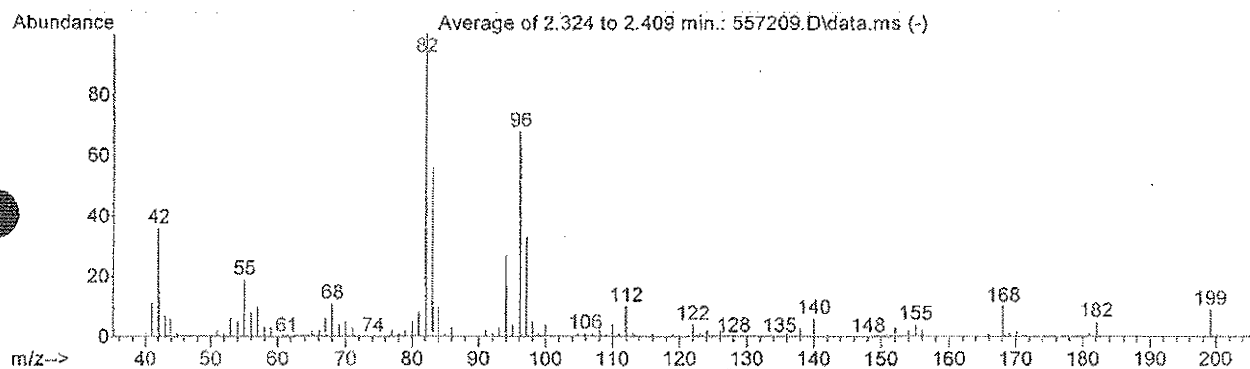
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM7\09\_12\_07\557209.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 9:32  
 Sample Name : 821978  
 Submitted by : ASD  
 Vial Number : 9  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE

Search Libraries: C:\Database\SLI.L Minimum Quality: 85  
 C:\Database\PMW\_TOX2.L Minimum Quality: 85  
 C:\Database\NIST05a.L

PK#	RT	Library/ID	CAS#	Qual
2	2.37	C:\Database\PMW_TOX2.L		
		Cocaine-M (methylecgonine)	007143-09-1	96
		Cocaine-M (methylecgonine) AC	000000-00-0	40
		Cocaine	000050-36-2	38



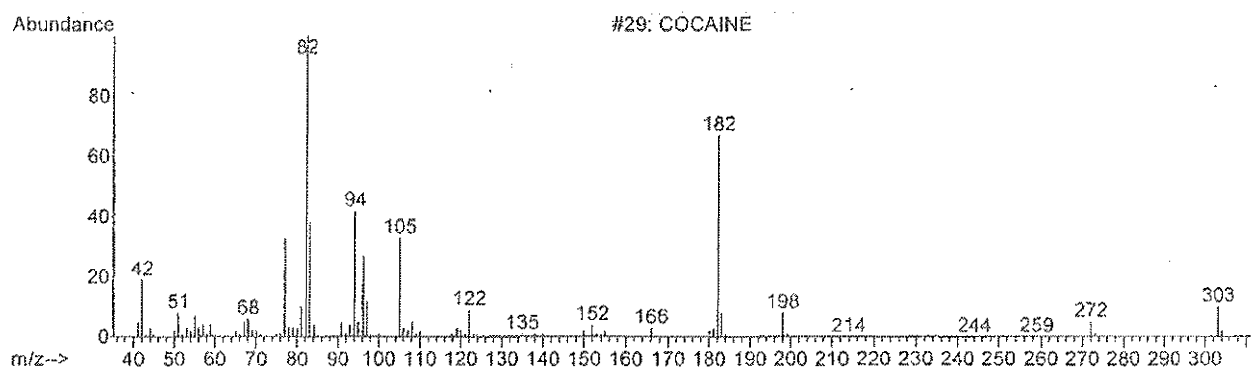
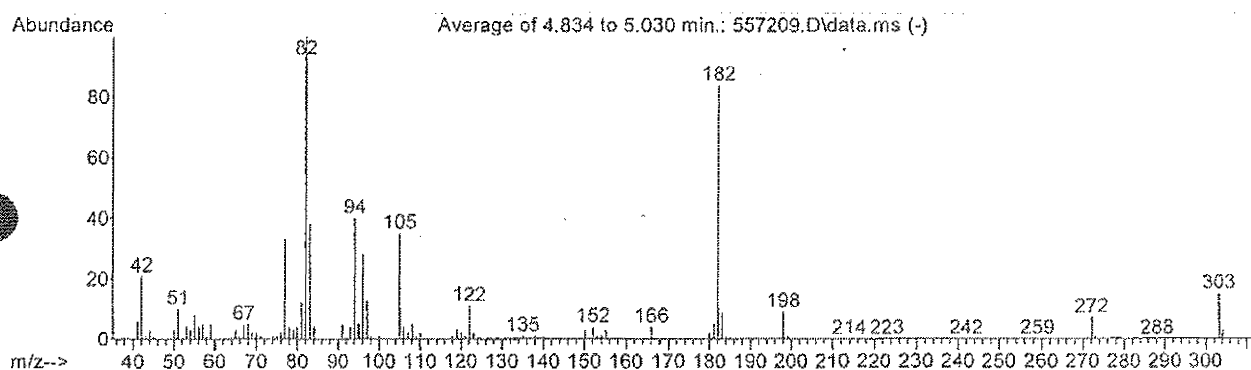
# Area Percent / Library Search Report

**Information from Data File:**

File Name : E:\SYSTEM7\09\_12\_07\557209.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 9:32  
 Sample Name : 821978  
 Submitted by : ASD  
 Vial Number : 9  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE

Search Libraries: C:\Database\SLI.L Minimum Quality: 85  
 C:\Database\PMW\_TOX2.L Minimum Quality: 85  
 C:\Database\NIST05a.L

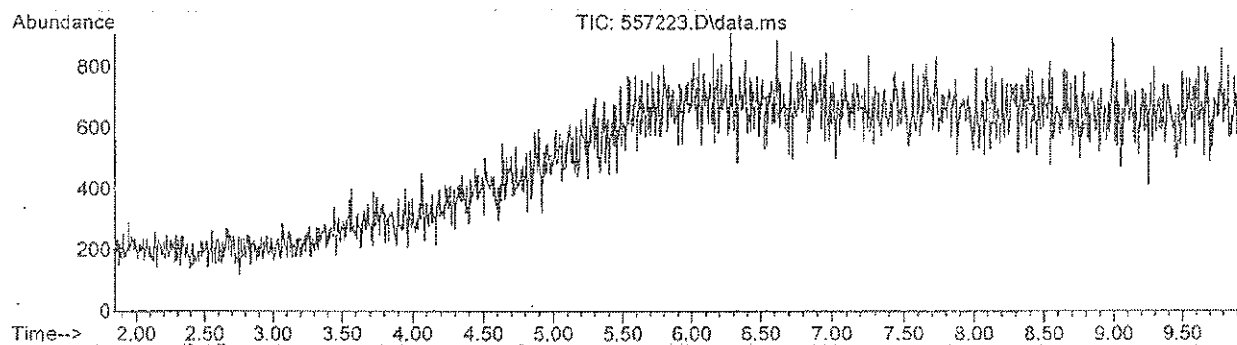
PK#	RT	Library/ID	CAS#	Qual
3	4.88	C:\Database\SLI.L COCAINE	000050-36-2	99



# Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557223.D  
 Operator : KAC  
 Date Acquired : 12 Sep 2007 12:30  
 Sample Name : BLANK  
 Submitted by :  
 Vial Number : 1  
 AcquisitionMeth: DRUGS.M  
 Integrator : RTE



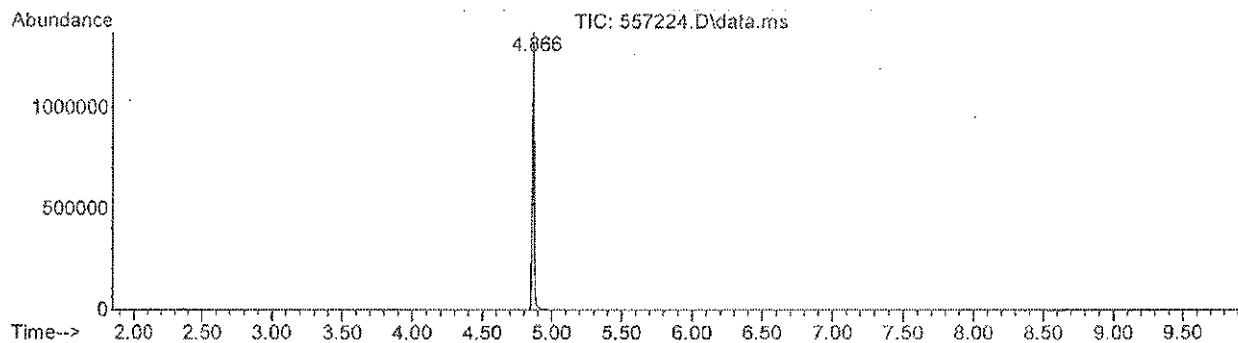
Ret. Time	Area	Area %	Ratio %
-----------	------	--------	---------

\*\*\*NO INTEGRATED PEAKS\*\*\*

## Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557224.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 12:43  
Sample Name : COCAINE STD  
Submitted by :  
Vial Number : 24  
AcquisitionMeth: DRUGS.M  
Integrator : RTE



Ret. Time	Area	Area %	Ratio %
4.866	1313701	100.00	100.00



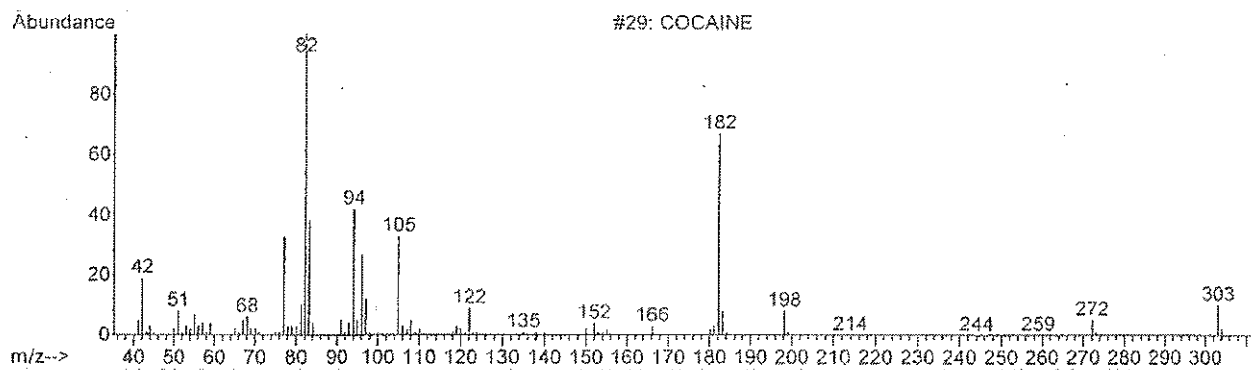
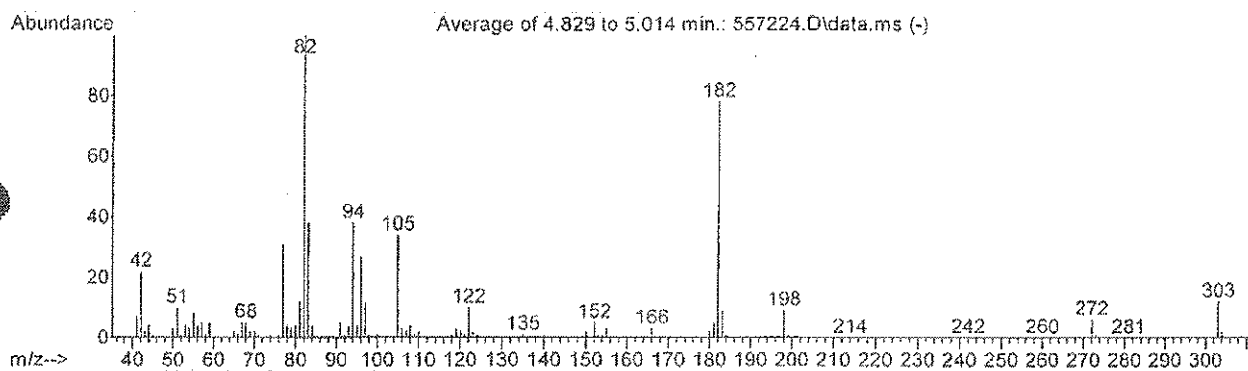
## Area Percent / Library Search Report

## Information from Data File:

File Name : E:\SYSTEM7\09\_12\_07\557224.D  
Operator : KAC  
Date Acquired : 12 Sep 2007 12:43  
Sample Name : COCAINE STD  
Submitted by :  
Vial Number : 24  
AcquisitionMeth: DRUGS.M  
Integrator : RTE

Search Libraries: C:\Database\SLI.L Minimum Quality: 85  
C:\Database\PMW\_TOX2.L Minimum Quality: 85  
C:\Database\NIST05a.L

PK#	RT	Library/ID	CAS#	Qual
1	4.87	C:\Database\SLI.L COCAINE	000050-36-2	99



3

PRELIM: Heroin

NO. 821975

DATE ANALYZED: 9/12/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 4 ASD

NET WEIGHT: 0.40

• 2KAC

QUANT:

FINDINGS: ~~Heroin~~

PRELIM: Cocaine

NO. 821976

DATE ANALYZED: 9/13/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 6 ASD

NET WEIGHT: 0.53

• 2KAC

QUANT:

FINDINGS: Cocaine

4

DRUG POWDER ANALYSIS FORM

SAMPLE # 821775 AGENCY Salem ANALYST ASG

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

Beige powdered substance  
in 1 pb  
double bagged

Gross Wt ( ): 0.6560

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.4044

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis +

Froehde's +

Mecke's +

Microcrystalline Tests

Gold  
Chloride           

TLTA ( )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Heroin

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Heroin

MS  
OPERATOR KAK

DATE 9-12-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821976 AGENCY Sullivan ANALYST ASD

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in 1 ps

Gross Wt ( 1 ): 0.5854

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.3398

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate ( + )           

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA ( + )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS cocaine

DATE 08-05-07

GC/MS CONFIRMATORY TEST

RESULTS cocaine

MS  
OPERATOR KAC

DATE 9-13-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821977 AGENCY Salem ANALYST AJO

No. of samples tested:           

Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in 1 pb  
double bagged

Gross Wt (    ): 0.7725

Gross Wt (    ):           

Pkg. Wt:           

Net Wt: 0.8445

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis —

Froehde's —

Mecke's —

Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 09-17-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821978 AGENCY Salem ANALYST ADD

No. of samples tested: \_\_\_\_\_

Evidence Wt. \_\_\_\_\_

PHYSICAL DESCRIPTION:

off white chunky substance  
in 1 pb

Gross Wt ( 1 ): 0.2292

Gross Wt ( ): \_\_\_\_\_

Pkg. Wt: \_\_\_\_\_

Net Wt: 0.1520

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate ( - ) +

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA ( - ) +

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-03-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 9-14-07

4

DRUG POWDER ANALYSIS FORM

SAMPLE # 821975 AGENCY Salem ANALYST RJ9

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

Beige powdered substance  
in 1 pb  
double bagged

Gross Wt ( ): 0.6560

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.4044

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis +

Froehde's →

Mecke's +

Microcrystalline Tests

Gold  
Chloride           

TLTA ( )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Heroin

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Heroin

MS  
OPERATOR KAC

DATE 9-12-07

# DRUG POWDER ANALYSIS FORM

SAMPLE # 821976 AGENCY Sullivan ANALYST ASD

No. of samples tested:            Evidence Wt.           

## PHYSICAL DESCRIPTION:

white powdered substance  
in 1 pb

Gross Wt ( 1 ): 0.3854

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.3398

## PRELIMINARY TESTS

### Spot Tests

Cobalt  
Thiocyanate (+)

Marquis -

Froehde's -

Mecke's -

### Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

### OTHER TESTS

## PRELIMINARY TEST RESULTS

RESULTS cocaine

DATE 09-05-07

## GC/MS CONFIRMATORY TEST

RESULTS cocaine

MS  
OPERATOR KAC

DATE 9-13-07

Revised 7/2005



DRUG POWDER ANALYSIS FORM

SAMPLE # 821977 AGENCY Salem ANALYST AJD

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in bag  
double bagged

Gross Wt (    ): 0.7725

Gross Wt (    ):           

Pkg. Wt:           

Net Wt: 0.5445

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 09-17-07

Revised 7/2005

# DRUG POWDER ANALYSIS FORM

SAMPLE # 821978 AGENCY Salem ANALYST ASD

No. of samples tested:           

Evidence Wt.           

## PHYSICAL DESCRIPTION:

off white chunky substance  
17 pbs

Gross Wt ( 1 ): 0.2292

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.1520

## PRELIMINARY TESTS

### Spot Tests

Cobalt  
Thiocyanate ( - ) +

Marquis -

Froehde's -

Mecke's -

### Microcrystalline Tests

Gold  
Chloride +

TLTA ( - ) +

### OTHER TESTS

## PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-03-07

## GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 9-14-07

filed 11/18/08 16  
Richard Deschamps

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

V.

MIGUEL CUEVAS

MOTION TO SUPPRESS IDENTIFICATION

Now comes the defendant in the above entitled matters and respectfully moves that this Honorable Court suppress as evidence against him all in-court and out-of-court identifications of him by Kerry Rowe.

As reasons therefor, the defendant states that:

1. The circumstances of the photographic show-up identification were so impermissibly suggestive as to give rise to the substantial likelihood of irreparable misidentification.
2. The show-up identification procedure and subsequent identification were made in violation of rights guaranteed the defendant by the Fourth, Fifth and Fourteenth Amendments to the United States Constitution and Articles 12 and 14 of the Massachusetts Declaration of Rights.
3. The identification procedure and subsequent identification were made in violation of common law principles of fairness. See Commonwealth v. Jones, 423 Mass. 99 (1996).

MIGUEL CUEVAS

By his attorney

A handwritten signature in cursive script, appearing to read "Lawrence J. McGuire".

Lawrence J. McGuire

BBO No. 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978-744-9113

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

V.

MIGUEL CUEVAS

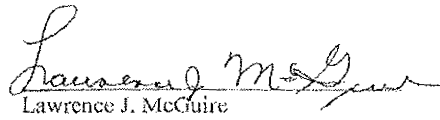
AFFIDAVIT OF COUNSEL

I, Lawrence J. McGuire, upon knowledge, information and belief do hereby swear and affirm that:

1. I am an attorney employed by the Committee for Public Counsel Services assigned to represent the defendant.
2. I have received discovery from the Commonwealth, which I have read.
3. The defendant is accused of selling narcotics to undercover officer Kerry Rowe on January 5, 8 and 10, 2007, in Salem. He was not arrested until June 9, 2007.
4. Salem detectives Bona and Jennings were in charge of the investigation. They observed the transactions.
5. On January 5, 2007, Detective Bona showed Officer Rowe a single photograph of the defendant.

Signed under the pains and penalties of perjury.

Date: Nov. 15, 2008

  
Lawrence J. McGuire

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

V.

MIGUEL CUEVAS

MEMORANDUM OF LAW IN SUPPORT OF MOTION TO SUPPRESS  
IDENTIFICATION

Where a defendant alleges that witness identifications arise from unnecessarily suggestive circumstances, the “defendant has the burden to prove, by a preponderance of the evidence, that the witness was subjected by the State to a pretrial confrontation ... ‘so unnecessarily suggestive and conducive to irreparable mistaken identification’ as to deny the defendant due process of law.” Commonwealth v. Otsuki, 411 Mass. 218, 232 (1991), quoting Commonwealth v. Venios, 378 Mass. 24, 26-27 (1979). The judge, in considering whether the identification testimony should be suppressed, must examine the totality of the circumstances attending the confrontation to determine whether it was unnecessarily suggestive.” Commonwealth v. Otsuki, *supra* at 232-233. If a defendant establishes that a confrontation was unnecessarily suggestive, then the identifications are excluded based on due process rights guaranteed by Article 12 of the Massachusetts Declaration of Rights. See Commonwealth v. Johnson, 420 Mass. 458, 462-465 (1995); Commonwealth v. Botelho, 369 Mass. 860, 865-869 (1976). Subsequent identifications

are admissible only if the Commonwealth demonstrates by clear and convincing evidence that the identifications have an independent source. See Commonwealth v. Johnson, *supra* at 463, citing Commonwealth v. Botelho, *supra* at 868.

Once a defendant shows by a preponderance of the evidence that an identification is unnecessarily suggestive, the Commonwealth must then show by clear and convincing evidence that a subsequent in-court identification is based on a source independent of the suggestive confrontation. Commonwealth v. Venios, 378 Mass. 24, 26-27 (1979); Commonwealth v. Moon, 380 Mass. 751, 758-59 (1980). In determining whether a witness's identification is based on a source independent of an unduly suggestive confrontation, relevant considerations include: 1) the opportunity of the witness to view the criminal at the time of the crime; 2) the witness's degree of attention; 3) the accuracy of his prior description of the criminal; 4) the level of certainty demonstrated at the confrontation, and, 5) the time between the crime and the confrontation. Commonwealth v. Botelho, 369 Mass. 860-862 (1976). Only after the Commonwealth establishes by clear and convincing evidence that an identification is based on factors independent of a suggestive confrontation may that identification be admitted into evidence. Commonwealth v. Botelho, 369 Mass. 860-868 (1976).

Show-up identifications are disfavored because they are inherently suggestive. Commonwealth v. Thompson, 422 Mass. 722, 729. The police may show recently apprehended suspects to witnesses shortly after a crime only if there is good reason to do so. Commonwealth v. Thompson, *supra*. See also Commonwealth v. Moon, 380 Mass. 751, 757 – 78 (1980); Commonwealth v. Barnett, 371 Mass. 87, 92-93 (1976), cert.



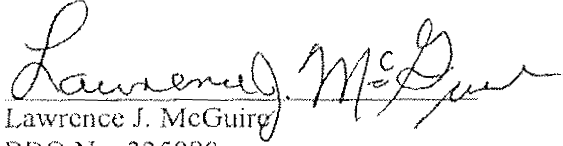
Denied, 429 U.S. 1049 (1977); Commonwealth v. Bumpus, 354 Mass. 494, 500 –01 (1968), cert. Denied, 393 U.S. 1034 (1969).

While exigent or special circumstances are not prerequisites to the use of a one on one identification procedure, either by photograph or in person, still there must be “good reason” for the police to use this inherently suggestive process. Commonwealth v. Martin, 447 Mass. 274; Commonwealth v. Austin, 421 Mass. 357. “Good reason” might be based on the nature of the crime and concern for public safety, the need for efficient police investigation in the immediate aftermath of a crime or the usefulness of the prompt confirmation of the accuracy of investigative information which if erroneous might allow the police to follow other avenues. Commonwealth v. Austin, *supra*.

In this case there was no sufficient reason to show Officer Rowe the single photograph of the defendant. According to his own report, Detective Bona knew the defendant from events predating three encounters in January, 2007. There was no reason for the officers not to place the defendant’s photograph in a fairly constructed array to see if Rowe could identify him. This case is unlike Commonwealth v. Martinez, 67 Mass. App. Ct. 788 There, an undercover trooper was shown a single photograph of the defendant twenty minutes after he bought the drugs by other officers who had been observing the transaction. The Court held that the identification procedure was justified by the nature of crime and that efficient investigation would be hampered if the police had to take the time to put together an array. However in Martinez, none of the officers knew the defendant before the sale, and only one sale was involved. In this case two officers knew the defendant, and had permitted him to be at large for two weeks after the first sale was made. In fact, the defendant was not arrested until June 9, 2007.

MIGUEL CUEVAS

By his attorney

A handwritten signature in cursive script, appearing to read "Lawrence J. McGuire", written over a horizontal line.

Lawrence J. McGuire

BBO No. 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978-744-9113

17

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS.

SUPERIOR COURT

Indictment Nos:

ESCR 2007-1535

*Lowy* 1/30/09  
J 20  
FILED IN COURT  
ASST. CLERK

COMMONWEALTH

vs.

MIGUEL CUEVAS

WAIVER OF DEFENDANT'S RIGHTS

I have discussed the above case(s) and my constitutional and other rights with my attorney. I understand that by entering my plea of guilty I will be giving up my right to a trial by jury or to a trial before a judge; to confront, cross-examine, and compel the attendance of witnesses; to present evidence in my defense; to remain silent and refuse to be a witness against myself by asserting my privilege against self-incrimination; all with the assistance of my defense attorney, and to be presumed innocent until proven guilty beyond a reasonable doubt.

I have been advised by my attorney of the nature of the charge or charges to which I am entering my guilty plea. I also have been advised by my attorney of the nature and range of the possible sentence or sentences. I have been advised of the recommendation on sentencing to be made by the Prosecution.

My guilty plea is not the result of force, threats, assurance or promises. I have decided to plead guilty voluntarily and

freely, rather than at the direction of or because of the recommendation of any other person.

I am satisfied that my defense attorney has represented me in an effective and in a competent manner. I have had enough time to speak with him or her regarding any possible defenses I may have to the above charges.

I am not now on or under the influence of any drug, medication, liquor, or other intoxicant or depressant, which would impair my ability to fully understand the constitutional and statutory rights that I am waiving when I plead guilty.

I have been advised by Judge Lowy and I understand that if I am not a citizen of the United States, a conviction in the above case(s) could result in my deportation or exclusion from admission to the United States under federal immigration law and that I may be rejected as an applicant for citizenship in the United States.

I understand that I give up the right to any and all defenses, and objections which I could assert to the above case(s). I also understand that I give up my right to appeal the Court's denial of any motions to dismiss or to suppress or to the Court's acceptance of my plea of guilty to the above offenses and imposition of sentence upon me.

1-30-09  
Date

MIGUEL CUEVAS  
Print Name of Defendant

Miguel Cuevas  
Signature of Defendant

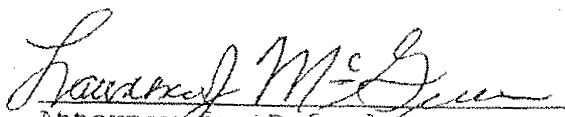
DEFENSE ATTORNEY'S APPROVAL

I have discussed this case and the plea recommendation with my client in detail and have advised the defendant of all matters within the scope of Massachusetts Rules of Criminal Procedure Rule 12, including, the constitutional and other rights of the accused, the factual basis for and the nature of the offense or offenses to which the guilty plea will be entered, possible defenses, and the consequences of the guilty plea. After explaining the above to the defendant, I am satisfied that the defendant has understood my explanation. Moreover, I am satisfied that the defendant is not under the influence of any drug, medication, liquor or other intoxicant which can impair the defendant's ability to fully understand all the constitutional, statutory and/or other rights the defendant would waive when we discussed the consequences of a plea of guilty to the above indictment(s).

I represent to the Court that the Defendant has signed this document voluntarily in my presence.

Date

1-30-09

  
Attorney for Defendant

BBO No: 3350 80

18

COMMONWEALTH OF MASSACHUSETTS.

ESSEX, SS.

To the Sheriff of the County of Essex, or any of his Deputies, and to the Superintendent of the Massachusetts Correctional Institution, Cedar Junction.

GREETING:

WHEREAS, by the consideration of the Superior Court holden within and for said County of Essex, on the 30<sup>th</sup> day of January, A.D. 2009

Miguel Cuevas

of Salem in said County of Essex,

now in custody of said Sheriff, convict of the crime of

Distribution of Cocaine  
94C/32A(a)

was sentenced to be confined at hard labor, in the Massachusetts Correctional Institution, Cedar Junction, for a term of not less than FOUR and ONE-HALF (4 1/2) years and not more than FIVE (5) years, and to stand committed according to said sentence.

ORDER: Prisoner deemed to have served 268 - 15 "STAY" days as a portion of said sentence under provisions of G. L. Chap. 279, Sec. 33a. 273 n/o 2/4/09

WE THEREFORE, COMMAND YOU, the said Sheriff or your said Deputies to remove the said convict from either of the jails in said County of Essex to said Massachusetts Correctional Institution, Cedar Junction; and WE COMMAND YOU the Superintendent of said Massachusetts Correctional Institution, Cedar Junction, to receive him, and immediately thereon to cause him to be confined therein as aforesaid; and for so doing this shall be your warrant.

And you, said Sheriff, are to make return of this Warrant, with your doings therein, to the office of the Clerk of said Court, in Salem, in said County of Essex, as soon as may be.

Witness, Chief Justice of our Superior Court, at Salem, on the day and date aforesaid.

James E. O'Leary  
Assistant Clerk  
Execution of State Sentence  
Stayed until 2/4/09;

ESSEX, ss.

19

In obedience to the within warrant I have conveyed the within named

to the Massachusetts Correctional Institution, Cedar Junction, and delivered him to the Superintendent thereof, with an attested copy of this warrant.

DEPUTY SHERIFF

COMMONWEALTH

NO CR - 2007-1535-021

VS.

Miguel Cuevas  
WARRANT TO MASSACHUSETTS  
CORRECTIONAL INSTITUTION,  
CEDAR JUNCTION

19

COMMONWEALTH OF MASSACHUSETTS.

Essex, ss.

To the Sheriff of the County of Essex, or any of his Deputies, and to the Superintendent of the Massachusetts Correctional Institution, Cedar Junction,

GREETING:

WHEREAS, by the consideration of the Superior Court holden within and for said County of Essex, on the 30<sup>th</sup> day of January, A.D. 1909,

*Miguel Cuevas*

of *Salem* in said County of Essex, now in custody of said Sheriff, convict of the crime of

*Distribution of Cocaine*  
*94C/32A (a)*

was sentenced to be confined at hard labor, in the Massachusetts Correctional Institution, Cedar Junction, for a term of not less than *Four and one-half (4 1/2)* years and not more than *Five (5)* years, and to stand committed according to said sentence.

*CONCURRENT w/ 2007-1535-001*  
ORDER: Prisoner deemed to have served *268* days as a portion of said sentence under provisions of G. L. Chap. 279, Sec. 33a: *+ 5 "STAY"*  
*273* A/c 2/4/09

WE THEREFORE, COMMAND YOU, the said Sheriff or your said Deputies to remove the said convict from either of the jails in said County of Essex to said Massachusetts Correctional Institution, Cedar Junction; and WE COMMAND YOU the Superintendent of said Massachusetts Correctional Institution, Cedar Junction, to receive him, and immediately thereon to cause him to be confined therein as aforesaid; and for so doing this shall be your warrant.

And you, said Sheriff, are to make return of this Warrant, with your doings therein, to the office of the Clerk of said Court, in Salem, in said County of Essex, as soon as may be.

Witness, Chief Justice of our Superior Court, at Salem, on the day and date aforesaid.

*James E. Clancy*  
ASSISTANT CLERK  
*Execution of State Sentence*  
*Stayed Until 2/4/09.*



ESSEX, ss.

19

In obedience to the within warrant I have conveyed the within named

to the Massachusetts Correctional Institution, Cedar Junction, and delivered him to the Superintendent thereof, with an attested copy of this warrant.

DEPUTY SHERIFF

COMMONWEALTH

NO. CR. 2007-1535-002

VS.

Miguel Cuevas

WARRANT TO MASSACHUSETTS  
CORRECTIONAL INSTITUTION,  
CEDAR JUNCTION

20

COMMONWEALTH OF MASSACHUSETTS:

ESSEX, SS.

To the Sheriff of the County of Essex, or any of his Deputies, and to the Superintendent of the Massachusetts Correctional Institution, Cedar Junction.

GREETING:

WHEREAS, by the consideration of the Superior Court holden within and for said County of Essex, on the 30<sup>th</sup> day of JANUARY, A.D. 1909,

Miguel Cuevas

of Salem in said County of Essex, now in custody of said Sheriff, convict of the crime of

Distribution of Cocaine  
94C/32A(a)

was sentenced to be confined at hard labor, in the Massachusetts Correctional Institution, Cedar Junction, for a term of not less than Four and one-half (4 1/2) years and not more than FIVE (5) years, and to stand committed according to said sentence.

Concurrent w/ 2007-1535-001  
ORDER: Prisoner deemed to have served 268 days as a portion of said sentence under provisions of G. L. Chap. 279, Sec. 33a. + 5 1152111  
273 A/O 2/4/09

WE THEREFORE, COMMAND YOU, the said Sheriff or your said Deputies to remove the said convict from either of the jails in said County of Essex to said Massachusetts Correctional Institution, Cedar Junction; and WE COMMAND YOU the Superintendent of said Massachusetts Correctional Institution, Cedar Junction, to receive him, and immediately thereon to cause him to be confined therein as aforesaid; and for so doing this shall be your warrant.

And you, said Sheriff, are to make return of this Warrant, with your doings therein, to the office of the Clerk of said Court, in Salem, in said County of Essex, as soon as may be.

Witness, Chief Justice of our Superior Court, at Salem, on the day and date aforesaid.

James E. Clancy  
ASSISTANT CLERK.

Execution of State Sentence  
Stayed until 2/4/09;

ESSEX, ss.

19

In obedience to the within warrant I have conveyed the within named

to the Massachusetts Correctional Institution, Cedar Junction, and delivered him to the Superintendent thereof, with an attested copy of this warrant.

DEPUTY SHERIFF

COMMONWEALTH

NO. CR - 2001-1535-003

VS.

Miguel Cuevas

WARRANT TO MASSACHUSETTS  
CORRECTIONAL INSTITUTION,  
CEDAR JUNCTION

21

COMMONWEALTH OF MASSACHUSETTS.

Essex, ss.

To the Sheriff of the County of Essex, or any of his Deputies, and to the Superintendent of the Massachusetts Correctional Institution, Cedar Junction.

GREETING:

WHEREAS, by the consideration of the Superior Court holden within and for said County of Essex, on the 30<sup>th</sup> day of JANUARY 2009 ~~APR 10~~  
MIGUEL CUEVAS

of Salem in said County of Essex.  
now in custody of said Sheriff, convict of the crime of

Distribution of Heroin  
94C/32 (a)

was sentenced to be confined at hard labor, in the Massachusetts Correctional Institution, Cedar Junction, for a term of not less than Four and one-half (4 1/2) years and not more than Five (5) years, and to stand committed according to said sentence.

Concurrent w/ 2007-1535-001  
ORDER: Prisoner deemed to have served 268 days as a portion of said sentence under provisions of G. L. Chap. 279, Sec. 33a. + 5 "STAY"  
273 AIO 2/4/09

WE THEREFORE, COMMAND YOU the said Sheriff or your said Deputies to remove the said convict from either of the jails in said County of Essex to said Massachusetts Correctional Institution, Cedar Junction; and WE COMMAND YOU the Superintendent of said Massachusetts Correctional Institution, Cedar Junction, to receive him, and immediately thereon to cause him to be confined therein as aforesaid; and for so doing this shall be your warrant.

And you, said Sheriff, are to make return of this Warrant, with your doings therein, to the office of the Clerk of said Court, in Salem, in said County of Essex, as soon as may be.

Witness, [Signature] Chief Justice of our Superior Court, at Salem, on the day and date aforesaid.

James E. O'Leary  
ASSISTANT CLERK  
Execution of State Sentence  
Stayed until 2/4/09

ESSEX, ss.

19

In obedience to the within warrant I have conveyed the within named .....

.....  
to the Massachusetts Correctional Institution, Cedar Junction, and delivered him to the Superintendent thereof, with an attested copy of this warrant.

.....  
DEPUTY SHERIFF

WARRANT TO MASSACHUSETTS  
CORRECTIONAL INSTITUTION,  
CEDAR JUNCTION

COMMONWEALTH

NO. CR. ....

2007-1535-004

vs.  
Michael L. Welch

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

To the Sheriff of the County of Essex, his Deputies, or any Officer authorized to serve criminal process in the Commonwealth, and the Keeper of either of the Jails in said County,

GREETING:

These are to command you, the said Sheriffs and Officers, in the name of the Commonwealth of Massachusetts, forthwith to remand and deliver into the custody of the said Keeper-Sheriff, the body of

*Miguel Cuevas*

who this day has been brought before the Superior Court, for the transaction of criminal business, holden within and for said County, to answer to an indictment found-complaint against him, wherein he is charged with the crime of

*DIST. of Cocaine*

alleged to have been committed in said County.

You, the said Keeper, are hereby required to receive him/her into your custody in the said Jail, and him/her there safely keep until he/she be discharged by due order of law

*until wed., Feb. 4, 2009 for  
execution of State Sentence*

WITNESS, ~~Robert J. Mulligan~~ Chief Justice of our  
Superior Court, the

*January 30<sup>th</sup>* day of  
in the year of our Lord two

thousand and

*2009.*  
*Jane E. Clancy*  
Assistant Clerk.

ESSEX, ss.

20

In obedience to the within order, I have conveyed the within-named to the Jail in  
in said County, and left with the Keeper-Sheriff thereof a true  
and attested copy of this mittimus and my return thereon.

No.

2007-1535-001

COMMONWEALTH

vs.

Miguel Cuenca

ORDER REMANDING TO  
CUSTODY OF SHERIFF

23

COMMONWEALTH OF MASSACHUSETTS

ESSEX, SS

SUPERIOR COURT  
NO. 77CR

COMMONWEALTH

2007-1535-001

VS.

Miguel Cuevas

VICTIM/WITNESS ASSESSMENT

The defendant was convicted and it is hereby ordered that the defendant be assessed the amount of \$ 90.00 victim witness fee. 150.00  
Mandatory Drug Assessment in the sum of \$  
This assessment is to be paid:

(Check the applicable box):

- ☐ A Forthwith - Clerk of Courts Office
- ☐ B Suspended to \_\_\_\_\_ - Probation Office
- ☐ C Defendant Indigent - Assessment Waived/Reduced
- ☒ D Withdraw from inmate's account

TOTAL \$240.00

To the Superintendent of the receiving Correctional Institution:

You are hereby ordered to withdraw from the above named inmate's savings or personal account the first \$ \_\_\_\_\_ deposited to that account, said sum to be paid to this court for deposit in the Victim/Witness Assistance Fund pursuant to M.G.L. c258B,s.8, as amended

By the Court, ( Lowy ,J.)  
Attest:

Date 1/30/09

James E. Conway  
Assistant Clerk

Note:

- If: Box A or C is checked-after payment, file original with case and discard copy.  
Box B is checked-forward original to Probation and file copy.  
Box D is checked-attach original to mittimus and file copy.



NOTE: APPROVED JUDGMENT CODES ON REVERSE MUST BE USED IN REPORTING JUDGMENTS.

24

DC-MV-8 (2/88)		CITATION NUMBER (one number only)	
COMMONWEALTH OF MASSACHUSETTS SUPPLEMENTAL MOTOR VEHICLE ABSTRACT			
VIOLATOR NAME (LAST, FIRST, INITIAL) Covey, Miguel		DATE OF BIRTH	LICENSE NUMBER
STREET ADDRESS		REGISTRATION NUMBER	STATE
CITY/TOWN		POLICE DEPARTMENT	
DATE OF VIOLATION 1/8/07	LOCATION OF VIOLATION Salem		
DOCKET NUMBER	OFFENSE	CHAPTER	SECTION
07-1535001	Dist Cocaine	94C	32
07-1535002	Dist Cocaine	94C	32
07-1535003	Dist Cocaine	94C	32
07-1535004	Dist class A	94C	32
INSTRUCTIONS TO COURT: 1. Use a separate form for each citation number. 2. To update previous abstract, fill in shaded areas only. 3. To use to report a conviction for which no citation was written, fill out as completely as possible. 4. Certify abstract with clerk-magistrate's facsimile.		JUDGMENT	DATE OF JUDGMENT
COURT COPY		CERTIFIED BY CLERK-MAGISTRATE AS A TRUE RECORD	
77			

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss.

SUPERIOR COURT DEPARTMENT  
ESSEX DIVISION  
NOS: ESCR2007-1535

COMMONWEALTH

V.

MIGUEL CUEVAS

MOTION TO REVOKE AND REVISE SENTENCE

The defendant respectfully moves that this Honorable Court, Lowy, J., revoke and revise the sentence which it imposed on him on January 30, 2009.

The defendant requests that no action be taken on his motion at this time.

MIGUEL CUEVAS

By his attorney



Lawrence J. McGuire

BBO No: 335080

Committee for Public Counsel Services

One Salem Green Suite 408

Salem, Massachusetts 01970

978 744-9113

**FILED**  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

FEB 18 2009

  
CLERK

WARRANT

0777CR001535

Superior

NAME, ADDRESS AND ZIP CODE OF DEFENDANT  
CUEVAS, MIGUELTrial Court of Massachusetts  
Essex Superior CourtTO ANY AUTHORIZED OFFICER:  
REASON FOR WARRANT

- ☐ Representation of prosecutor that defendant may not appear unless arrested.
- ☐ Defendant failed to appear after being summoned to appear.
- ☐ Defendant failed to appear after recognizing to appear.
- ☐ Defendant failed to pay court ordered monies in the amount of \$\_\_\_\_\_.
- ☐ Defendant failed to pay non-criminal motor vehicle fine in the amount of \$\_\_\_\_\_.
- ☒ Defendant failed to appear for Probation Surrender Hearing
- ☐ Other:

DATE OF BIRTH	SEX	RACE	HEIGHT	WEIGHT	EYES	HAIR
	M	B	5'11"	200	BRO	BLK

C.C. # SOCIAL SECURITY #

DATE OF OFFENSE PLACE OF OFFENSE  
01/05/2007 SALEMCOMPLAINANT POLICE DEPARTMENT  
SALEM PDDATE OF COMPLAINT RETURN DATE AND TIME  
10/05/2007COUNT-OFFENSE  
1 - 94C/32A/B COCAINE, DISTRIBUTE, SUBSQ.OFF. c94C §32A(d)

on 01/05/2007, not being authorized by law, did knowingly or intentionally manufacture, distribute or dispense a controlled substance defined in clause (4) of paragraph (a) of Class B of G.L. c.94C, §31, to wit: coca leaves or a salt, compound, derivative, or preparation of coca leaves, or a salt, compound, derivative, or preparation thereof which is chemically equivalent or identical with such a substance, not being excepted by law, the defendant having previously been convicted of such an offense, or an offense of another jurisdiction which is the same as or necessarily includes the elements of such offense, in violation of G.L. c.94C, §32A(d). (NO DISTRICT COURT FINAL JURISDICTION IN ADULT SESSION.)

COUNT-OFFENSE

COUNT-OFFENSE

COUNT-OFFENSE

THE COURT HAS ORDERED THAT A ☐ WARRANT  
☒ DEFAULT WARRANT

ISSUE AGAINST THE ABOVE DEFENDANT

Therefore you are hereby commanded to arrest the above named defendant and bring the defendant forthwith before this court to answer to the offense(s) listed above and to be dealt with according to law.

WITNESS: FIRST JUSTICE  
MULLIGAN, ROBERTDATE OF ISSUE  
12/17/2007

CLERK-MAGISTRATE/ASST. CLERK

COMMONWEALTH OF MASSACHUSETTS

26

FILED  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

APR 27 2009

ESSEX SS,

SALEM SUPERIOR COURT

DOCKET NO: ESCR-2007-1535

*Thomas A. Alarcon*  
CLERK

COMMONWEALTH

V.

MIGUEL CUEVAS

DEFENDANT'S MOTION FOR JAIL CREDITS  
AND ISSUANCE OF A CORRECTED MITTIMUS

Now comes the defendant miguel cuevas, "prose" in the above entitled matter and hereby respectfully moves this Honorable Court to award him 37 days Jail credit for time spent in confinement on this matter and issue a corrected mittimus to the Department of corrections, record department reflecting the 37 days Jail credits.

As reasons therefore, the defendant states that he was being held on a \$10,000 cash bail at the Essex County Correctional Facility from June 9, 2007 thru July 16, 2007 before posting his bail and being released on the above-mentioned Docket.

The defendant further states that he received Jail credits from the dates of May 16, 2008 thru January 30, 2009 in which disposition of the case the court was not informed of or aware of the 37 days Jail credit requested.

4/29/09  
Copies sent

4/28/09 Lowry J.  
"Denied" ... Proper Credit was given.  
6/9/07 to 7/16/07 = 38 Days  
5/16/08 to 1/30/09 = 230 Days  
TOTAL plus 5 DAY for "STAY" = 268

ATTEST:

*James E. Conway*  
ASST. CLERK

The defendant has attached an affidavit in support of his motion attached (hereto).

The defendant prays this Honorable Court credit him 37 days jail credit for time spent in confinement on this matter.

DATE: April 22, 2009

Respectfully Submitted  
By the Defendant,  
Miguel Cuevas  
MIGUEL CUEVAS "PROB"

### CERTIFICATE OF SERVICE

I Miguel Cuevas do hereby certify that a true copy of the above document was sent to the Essex County District Attorney's office by US 1st class mail on 4/22/09.

DATE: April 22, 2009

Miguel Cuevas  
MIGUEL CUEVAS

COMMONWEALTH OF MASSACHUSETTS.

Essex. SS,

SALEM SUPERIOR COURT  
DOCKET NO. ESCR-2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

AFFIDAVIT

IN SUPPORT OF MOTION FOR JAIL CREDITS AND

TESTIMONY OF A CORRECTED INSTITUTION

I, MIGUEL CUEVAS, do hereby depose and say the following.

- 1) I am the defendant in the above entitled matter.
- 2) ON or about June 9, 2007, I was arrested and charged with the charges contained on the above-mentioned Docket.
- 3) As a result of my arrest, bail was set at \$10,000 cash.
- 4) On or about July 16, 2007, family members posted my bail on this matter and was released from confinement.
- 5) On or about May 16, 2008, I was arrested on unrelated charges in which violated my bail agreement with the court on this matter.

6) on or about January 30, 2009, I entered a Plea of guilty on the above mentioned charges and was sentenced to a 4 1/2 to 5 year state prison sentence by the court

7) upon processing my mitthins by the Records Department at MCI Concord I was informed that the Court credited me the time from May 16, 2008 thru January 30, 2009 Jail credit for time spent in confinement.

8) The Court never credited me the time from the time of my arrest (June 9, 2007), to the time my family posted my bail, (July 16, 2007)

9) From (June 9, 2007) thru (July 16, 2007) I was detained on a \$10,000 cash bail set by the district court and held at the Essex County correctional facility.

10) I was not being held or serving any other sentences at the time I was held in Confinement from June 9, 2007 thru July 16, 2007.

11) As A matter of law, I am entitled to the 37 days Jail credit for time spent in Confinement on this matter.

Signed under the Pains and Penalties of Perjury  
on this 22nd day of April, 2009

Miguel Cuevas  
MIGUEL CUEVAS



AGO State Lab  
Investigation  
000077

*Massachusetts State Police*  
*Office of the Attorney General*  
*One Ashburton Place, Room 1910*  
*Boston, MA 02108*

To: Lieutenant Colonel Francis J. Matthews *FJM* 9-12-12  
Commanding, Division of Investigative Services

From: Detective Lieutenant Robert M. Irwin  
Commanding, MSP-AGO Detective Unit

Subject: Signed Statement of Annie Dookhan


Case #: 2012-034-2589-0052

1. On August 28, 2012 at the conclusion of the interview with Annie Dookhan, I wrote out a brief summary of portions of the interview between Annie Dookhan, detective Captain Mason and me. I had Annie Dookhan read the statement and asked if it was accurate. After she agreed that the statement was accurate I had her acknowledge such by signing at the bottom. Below is the complete content of the written statement. The original is currently secured with the case file kept by this officer.
2. I, Annie Dookhan, had taken out samples of safe and tested them without them being signed out as proper procedure. I also went in the Evidence Log book and postdated and filled the log book in. I signed my initials and an Evidence Officer's initials in the book. That was my mistake and I can't deny that. I also batched, put similar samples together, and tested some and not others; I "dry labbed." I have been doing it for about two to three years. At times, a few, I had to add to a sample that came back from Mass Spec to make it what I said it was. I would get the sample from a known sample. I would try to clean it, the original, up first but if it didn't I would need to take something, drugs, from another case. I intentionally turned a negative sample into a positive a few times.
3. Annie S. Dookhan 6:45p.m. 8-28-2012  
I voluntarily signed this document, and it is true.  
DLT RM Irwin 8/28/12 1845  
DCPT JV Mason 8/28/12 1845 hrs



AGO State Lab  
Investigation

000078

Respectfully,  


*Robert M. Irwin #1230*

Robert M. Irwin  
Detective Lieutenant, #1230  
Massachusetts State Police  
Office of the Attorney General

## COMMONWEALTH OF MASSACHUSETTS

27

ESSEX, ss.  
[County]Salem Superior COURT  
[name of court]

DOCKET NO. ESCR07-1535

COMMONWEALTH

v. Miguel A. Cuevas  
[name of defendant]FILED  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

SEP 28 2012

Sharon A. Russell  
CLERKAllowed  
10/22/12DEFENDANT'S MOTION TO BE DECLARED INDIGENT

Now comes the defendant, pro se, in the above-entitled matter and moves this Honorable Court, pursuant to M.G.L. c.211D and Supreme Judicial Court Rule 3:10 to declare the defendant indigent.

As reasons for the foregoing request, the defendant states:

1. The defendant is now indigent, incarcerated and without funds to hire an attorney to pursue post-conviction remedies.
2. A party's indigency status may be reviewed at any stage of a court proceeding if information regarding a change in financial circumstances becomes available to a probation officer or other appropriate court employee, through the court's verification system, or from some other source, including the party. Supreme Judicial Court Rule 3:10, Section 7.
3. The defendant, by separate motion, requests appointment of the Committee for Public Counsel Services for direct appeal, which can only be done if the defendant is declared indigent.

In support of this motion, the defendant has attached his Affidavit of Indigency, as well as a copy of his prison canteen account and savings account, if any.

Respectfully submitted,

Date: 9/23/12

Miguel A. Cuevas [sign name here]  
Miguel A. Cuevas, pro se [print name]  
[mailing address]  
Miguel Cuevas # W73772

10/22/12  
Copy Sent  
All parties

## AFFIDAVIT OF INDIGENCY

### AND REQUEST FOR WAIVER, SUBSTITUTION OR STATE PAYMENT OF FEES & COSTS

(Note: If you are currently confined in a prison or jail and are not seeking immediate release under G.L. c. 248 §1, but you are suing correctional staff and wish to request court payment of "normal" fees (for initial filing and service) do not use this form. Obtain separate forms from the clerk.)

Salem Superior Court Commonwealth v.s. Miguel Cuevas Escobar Case Name and Number (if Known) 153

Name of applicant: Miguel Cuevas

Address: \_\_\_\_\_  
(Street and number) (City or town) (State and Zip)

**SECTION 1:** Under the provisions of General Laws, Chapter 261, Sections 27A-27G, I swear (or affirm) as follows  
**I AM INDIGENT** in that (check only one):

- ☐ (A) I receive public assistance under Transitional Aid to Families with Dependent Children (TAFDC), Emergency Aid to Elderly, Disabled or Children (EAEDC), Supplemental Security Income (SSI), Medicaid (MassHealth) or Massachusetts Veterans Benefits Programs; (circle form of public assistance received); or
- ☐ (B) My income, less taxes deducted from my pay, is \$ \_\_\_\_\_ per week/month/year (circle period that applies), for a household of \_\_\_\_\_ persons, consisting of myself and \_\_\_\_\_ dependents; which income is at or below the court system's poverty level; (Note: The court system's poverty levels for households of various sizes must be posted in this courthouse. If you cannot find it, ask the clerk. The court system's poverty level is updated each year.) [List any other available household income for the circled period on this line: \_\_\_\_\_] or
- ☒ (C) I am unable to pay the fees and costs of this proceeding, or I am unable to do so without depriving myself or my dependents of the necessities of life, including food, shelter and clothing.

**IF YOU CHECKED (C), YOU MUST ALSO COMPLETE THE SUPPLEMENT TO THE AFFIDAVIT OF INDIGENCY.**

**SECTION 2:** (Note: In completing this form, please be as specific as possible as to fees and costs known at the time of filing this request. A supplementary request may be filed at a later time, if necessary.)

I request that the following **NORMAL FEES AND COSTS** be waived (not charged) by the court, or paid by the state, or that the court order that a document, service or object be substituted at no cost (or a lower cost, paid for by the state): (Check all that apply and, in any "S \_\_\_\_" blank, indicate your best guess as to the cost, if known.)

- ☒ Filing fee and any surcharge. \$ N/A
- ☒ Filing fee and any surcharge for appeal. \$ N/A
- ☒ Fees or costs for serving court summons, witness subpoenas or other court papers. \$ N/A

Other fees or costs of \$ N/A for (specify): N/A

☒ Substitution (specify): N/A

SECTION 3: I request that the following EXTRA FEES AND COSTS either be waived (not charged), substitute or paid for by the state:

☒ Cost, \$ N/A, of expert services for testing, examination, testimony or other assistance (specify): N/A

☒ Cost, \$ N/A, of taking and/or transcribing a deposition of (specify name of person): \_\_\_\_\_

☒ Cassette copies of tape recording of trial or other proceeding, needed to prepare appeal for applicant not represented by Committee for Public Counsel Services (CPCS-public defender).

☒ Appeal bond

☒ Cost, \$ N/A, of preparing written transcript of trial or other proceeding

☒ Other fees and costs, \$ N/A, for (specify) \_\_\_\_\_

☒ Substitution (specify): N/A

Date signed <u>9/23/12</u>	Signed under the penalties of perjury x <u>Miguel Crespo</u>
By order of the Supreme Judicial Court, all information in this affidavit is CONFIDENTIAL. Except by special order of a court, it shall not be disclosed to anyone other than authorized court personnel, the applicant, applicant's counsel or anyone authorized in writing by the applicant.	
This form prescribed by the Chief Justice of the SJC pursuant to G.L. c. 261, § 27B. Promulgated March , 2003	

**SUPPLEMENT TO AFFIDAVIT OF INDIGENCY**  
AND REQUEST FOR WAIVER, SUBSTITUTION  
OR STATE PAYMENT OF FEES & COSTS

(Note: If you checked (C) on the AFFIDAVIT OF INDIGENCY, you must complete this form.)

Salem Superior Commonwealth VS. Miguel Cuevas ESR07-  
Court Case Name and Number (if known) 1535  
Name of applicant: Miguel Cuevas # W43772  
Address: \_\_\_\_\_  
(Street and number) (City or town) (State and Zip)

Under the provisions of General Laws, Chapter 261, Sections 27A-G, I swear or affirm as follows:

**1. PERSONAL INFORMATION**

- (a) Date of Birth: \_\_\_\_\_  
(b) Highest Grade Attained in School: 11th  
(c) Special Training: N/A  
(d) List any physical or mental disabilities which you wish to reveal and which affect your earning capacity or living expenses:  
Incarcerated  
(e) Number of Dependents: 0

**2. INCOME AFTER TAXES (monthly):**

- (a) If from employment, list your occupation and your employer's name and address:  
N/A  
(b) Source of income, if not from employment: N/A  
(c) My gross annual income for the past twelve months was: \$0.00

4. **ASSETS**
- (a) Own home? NO Market Value \$ 0  
Balance owed \$ 0
- (b) Own Car? NO Year & Make N/A  
Market Value \$ 0 Balance Owed \$ N/A
- (c) Bank Accounts (specify type and balance) 0
- (d) Other Property including Real Estate (specify type and value) 0

5. **DEBTS**
- (a) Specify: 0

6. **MISCELLANEOUS**
- (a) Other facts which may be relevant to your ability to pay fees and costs?  
0

Signed under the penalties of perjury:

Signature: Miguel Cuevas  
Type/Printed Name: Miguel A. Cuevas WA3772  
Address \_\_\_\_\_  
Date: 9/23/12

By order of the Supreme Judicial Court, all information in this affidavit is **CONFIDENTIAL**. Except by special order of a court, it shall not be disclosed to anyone other than authorized court personnel, the applicant, applicant's counsel or anyone authorized in writing by the applicant.

This form prescribed by the Chief Justice of the SJC pursuant to G.L. c. 261, § 27B. Promulgated March , 2003

September 23, 2012

To: Clerk of Courts  
Salem Superior  
Essex County

From: Miguel A. Cuevas #W93772

RE: Motion to be declared indigent.

Please find enclosed and completed my motion to be declared indigent by the courts. I recently found out that my case which was heard in your court between 2007-09 was one of the many affected by the chemist Anne Doohkan from the drug lab in Boston. I now want to obtain a lawyer from the Committee for Public Counsel Services to assist me in dealing with this matter. First I need to be declared indigent by the courts before being assigned a lawyer by the CPSC.

I've been incarcerated since May 08 and have no money, so please with all due respect move to grant me this motion.

Thank you  
Miguel Cuevas  
Miguel Cuevas

28

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss

ESSEX SUPERIOR COURT

DOCKET: ESCR 2007-1535

COMMONWEALTH

FILED  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

OCT 18 2012

v.

MIGUEL CUEVAS

*Thomas A. Marshall Jr.*  
CLERK

DEFENDANT'S MOTION TO WITHDRAW GUILTY PLEA

NOW COMES the defendant in the above captioned matter and respectfully requests pursuant to Mass. R. Crim. P. Rule 30 that this court vacate his guilty plea, and order that this matter be restored to the trial list. The defendant states as his grounds the following:

1. The defendant pled guilty to three counts of Possession with Intent to Distribute a Class B Substance and one count of Possession with Intent to Distribute a Class A substance on January 30, 2009 and received a sentence of 4 ½ – 5 years in the state prison, with all counts running concurrently.
2. Chemist Annie Dookhan, who carried out the testing on the alleged controlled substance in this case has been identified by law enforcement officials as a person who intentionally contaminated drug evidence to ensure positive tests, inflated drug sample weights, falsified drug analysis findings, and fraudulently altered chain of custody documents during a time period relevant to this case. It has also been discovered that she misrepresented her educational background to the Department of Public Health and other government officials during a time period relevant to this case by claiming to possess a Master's of Science degree in chemistry from the University of Massachusetts, Boston, which she does not actually possess. As a consequence of the investigation into her action at the Hinton laboratory, two other laboratory supervisors have been suspended, and the drug laboratory in Jamaica Plain has been completely closed down. The commissioner of the Massachusetts Department of Public Health, John Auerbach, has resigned.
3. Officers of the Massachusetts State Police questioned Annie Dookhan. On August 28, 2012 she signed the following statement in their presence:

"I, Annie Dookhan, had taken out samples of safe and tested them without being signed out as proper procedure. I also went in the Evidence Log book and postdated and filled the log book in. I signed my initials and an Evidence Officer's initials in the book. That was my mistake and I can't deny that. I also batched, put similar samples together, and tested some and not others; I "dry labbed." I have been doing it for 2-3 years. At times, a few, I had to add a sample that came back from Mass Spec to make it what I said it was. I would get the sample from a



known sample. I would try to clean it, the original, up first but if it didn't I would need to take something, drugs, from another case. I intentionally turned a negative sample into a positive a few times."

4. The Massachusetts State Police engaged in an investigation of the Hinton Lab in August and September of 2012 at the behest of the Attorney General's Office. This investigation was led by Detective Lieutenant Robert M. Irwin. During this investigation the State Police toured the lab's physical space and interviewed its employees. This investigation is memorialized in a series of police reports under the case # 2012-034-2589-0052.

The following is a summary of some key findings of the State Police during this investigation:

**Items from interviews in discovery packet regarding Dookhan specifically:**

- Dookhan forged other chemists (pg. 5, #2; pg. 7 #6; pg. 8 #14; pg. 15, #9, pg. 22, #4; pg. 29, #12 and 14; pg. 40, #3; pg. 45, #2; pg. 72, #4) and even evidence officer (pg. 15, #8; pg. 22, #6; pg. 25, #2; pg. 37, #6; pg. 72, #3) initials in an unknown number of instances, including on Quality Assurance and Quality Control documents (pg. 5 #s 2, 3; pg. 22, #5; pg. 31, #3; pg. 40, #3, pg. 45, #2).
- She ignored lab procedures by loading and running her own samples on the GCMS (pg. 5 #s 3, 4; pg. 40, #4; pg. 46, #3).
- Dookhan failed to properly run QC/QA test samples (pg. 22, #5), instead purposefully making up test result numbers on the "Quality Control Daily Injector Test on the GC/MS." (pg. 8, #13; pg. 22, #5)
- Dookhan maintained a level of production of test results that concerned supervisors and co-workers (pg. 19 #4; pg. 21, #1; pg. 35, #7; pg. 45 #2), often analyzing more samples in a week than they did in a month (pg. 19, #4; pg. 35, #7).
- She was submitting racks upon racks of sample vials to the confirmatory chemists (pg. 22, #2), and leaving many samples out on her bench top (pg. 73, #8 and 9).
- Dookhan exhibited a pattern of failing basic laboratory procedures (pg. 22, #2), including documentation issues (pg. 7 #11), failing to calibrate balances (pg. 31, #2; pg. 23, #9; pg. 42, #4), and having a work space filled with numerous vials open to cross contamination (pg. 7, #12; pg. 22, #2; pg. 73, #8).
- Dookhan was also allowed to access the evidence office computers to enter and look up data (pg. 12, #5; pg. 23, #6; pg. 32, #8; pg. 34, #2; pg. 38, #12; pg. 46, #4; pg. 72, #6; pg. 90, #2), even after she was suspended from lab duties (pg. 46, #5; pg. 72, #6), and lacking training (pg. 12, #5; pg. 29, #13).
- Dookhan engaged in the practice of "dry labbing," looking at the samples instead of

testing them with the presumptive testing (pg. 24, #16; pg. 73, #7 and 10).

- She was not using the proper method of inspecting slides prepared for a microscope (pg 19, #5; pg. 32, #6; pg. 21, #1; pg. 42, #2) This resulted in an unknown number of samples coming back as heroin when she had supposedly tested it and found it to be cocaine and vice versa (pg 7, #8; pg. 23, #8 and 11). She would then alter these samples cocaine or heroin, or in one instance THC, so that they would come out the way she wanted (pg. 6, #s 5, 6; pg. 7, #9; pg. 23, #10; pg. 73, #9).
- Dookhan was contacted directly by ADAs about specific samples to potentially analyze them quicker, potentially out of order (pg.29, #11; pg. 24, #14; pg. 32, #4; pg. 37, #3; pg. 40, #5; pg. 42, #5; pg. 72, #6), despite lab policies forbidding both this contact and action (pg. 24, #14; pg. 72, #6).
- Dookhan accessed the labs numerous times while suspended (pg. 23, #12; pg. 35, #6; pg. 40, #5; pg. 46, #5; pg. 86, #3).
- Dookhan's key opened the safe (pg. 16, #17; pg. 32, #7; pg.50, #5), and she may have known the code (pg. 32, #8; pg.42, #3). Despite policy, she may have been receiving evidence (pg. 32, #8) and may have been trusted with the ability to open and close the lab (pg. 32, #7; pg. 42, #4).
- Dookhan's false claim to have a Master's (pg. 71, #1) was discovered around June 2010, but no action was taken (pg. 30, #15). Other issues with her CV existed. (pg. 35, #4)

**Items regarding the Lab in general:**

- The Laboratory had a culture of lax oversight, as many issues with Dookhan were allowed to continue for years, even having her responsible for training (pg 31, #2 and #3), and for some QA/QC procedures (pg. 22, #2; pg. 51, #2). This culminated with the assignment of Dookhan to a special project of writing or updating the lab's Standard Operating Procedures (SOPs), even after her suspension for not following procedure. (pg. 15, #9; pg. 35, #6; pg. 55, #3; pg. 59, #3; pg. 86, #3;
- Numerous lab personnel expressed concerns with Dookhan's workload and documentation errors (pg. 8, #13; pg. 15, #9 and #10; pg. 19, #4; pg. 21, #1; pg. 22, #5; pg.45, #2; pg. 73, #7), blatant forgeries (pg. 5, #2; pg.7 #6; pg.8 #14; pg.15, #9, pg. 22, #4; pg. 40, #3; pg. 45, #2; pg. 72, #4), and questionable test results (pg 7, #8; pg. 23, #8 and 11), but no action was taken.
- When chemists were audited, there is confusion as to whether or not samples were retested or if paperwork was simply reviewed. No record of how a sample could be resubmitted is given, and the number of these retests doesn't seem to be tracked. There didn't seem to be a procedure in place to handle retests. (pg. 14 #5, 6; pg. 22 #3).

- The Laboratory evidence room and evidence safe were accessible to chemists (pg. 28, # 7; pg. 37, #9; pg. 12, #4). The procedures to restrict access were ignored and circumvented (pg. 16, #15; pg. 37, #9, pg. 38, #11; pg. 39, #2). The safe was found open and unattended (pg. 28, #6; pg. 38, #11), was left propped open when it was “busy,” (pg. 28, #6) was accessible by codes and keys that had not been changed in over a decade (pg. 28, #3). An unknown number of chemists had keys to the safe, though they might not have even known it (pg. 26 #4; pg. 16, #16; pg. 37, #8; pg. 12, #4). Further, the palm reader access point to the evidence room might not have been recording those who entered (pg. 17 #19, pg.96, #10).
  - The lab supervisors who discovered the June 2011 breach decided not to notify anyone (pg. 15, #8), compounding their already questionable lack of interest in the misdeeds of Dookhan (pg.19, #s 5,6,7; pg. 22, #6; pg. 55, #2). No written findings of her resubmittals or other QC/QA issues were recorded (pg. 11, #2; pg. 29, #12).
  - The method of samples being checked in and out suffered from lack of oversight, as whole sets of numbers could be pulled by Dookhan without anyone noticing (pg. 28, #7; pg. 29, #12; pg. 36, #1 and 2; pg. 73, #8; ). Further, the evidence officers appear to have a pattern of laxity when it came to tracking samples and access to the evidence room and safe, computer terminals (pg. 32, #8; pg. 38, #12; pg. 42, #3; pg. 46, #4; pg. 90, #2 and 3), and written logbooks (pg. 25, #2 and 3).
  - After the 2011 incident, when it was clear that an unknown number of keys opened the safe (pg. 12, #4; pg. 26 #5; pg. 28, #4; pg. 37, #8; pg. 38, #12; pg. 46, #6), no investigation was recorded. Shirley Sprague claims Chuck Salemi started checking keys (pg. 26 #4; pg. 20, #9), and perhaps switching them out (pg. 20, #9). Chuck Salemi claims that Julie Nassiff said she was doing it for Dookhan and a few others (pg. 16, #17; pg. 28, #4), but no plan to check every key was made (pg. 17, #18). Many of the keys were never checked (pg. 10, #1; pg. 39, #2; pg. 84, #3).
  - The Lab did not appear to have or to enforce any safeguards or policies to prevent ADAs and police officers from contacting a specific chemist about specific cases (pg. 29, #11; pg. 37, #3; pg. 72, #5)
  - The Jamaica Plain lab and the Amherst labs were performing the same tests under the same supervision and management, but evidentially were operating under different SOPs (pg. 55, #3; pg. 59, #3)
5. All drug evidence in the defendant’s case was handled at some point by Ms. Dookhan. More specifically, there were three drug samples analyzed in this case. Ms. Dookhan was the confirmatory chemist for two of these samples and she was the preliminary chemist for one of these samples.
  6. The State Police Investigation into Ms. Dookhan’s malfeasance has cast serious doubt on the integrity of any drug sample handled by her during the period of time in which she

handled the defendant's samples.

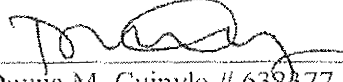
7. Had the defendant been aware of the manner in which Ms. Dookhan was handling drug samples, he would not have pled guilty to the drug offenses complained against him in this docket. As a result of Ms. Dookhan's misconduct, the defendant's guilty plea was not knowing and voluntary, and therefore the plea violates rights guaranteed to him by the Fifth and Fourteenth Amendments and Article 12 of the Massachusetts Declaration of Rights.
8. It appears that justice may not have been done on January 30, 2009, when Mr. Cuevas pled guilty to the four offenses against him. On this date he was ignorant of the serious potential mishandling or mislabeling of the drug evidence that had been described to him through documents provided to him in discovery by the Commonwealth.
9. As a result of the misconduct of Ms. Dookhan and/or other employees of the lab, which is imputed to the Commonwealth, the defendant was deprived of due process by the failure of the Commonwealth to provide true and accurate discovery prior to his guilty plea, in violation of the Fifth and Fourteenth Amendments and Article 12. Brady v. Maryland, 373 U.S. 83 (1963).
10. Mr. Cuevas' continued confinement and restraint is being imposed in violation of the Constitution of the United States or of the Commonwealth of Massachusetts.
11. The misconduct of Ms. Dookhan constitutes newly discovered exculpatory evidence.
12. Pursuant to Superior Court Rule 61A, the defendant states that this issue has not previously been the subject of direct or collateral post-conviction review. A direct appeal has not been taken from this matter.
13. The defendant accompanies this motion with a Motion for Discovery pursuant to Mass. R. Crim. Pro. 30(c)(4), as well as a Motion for Stay of Execution of Sentence pursuant to Mass. R. Crim. Pro. 31, and will seek to supplement this motion at a later date when more facts are discovered about Ms. Dookhan's misconduct and that of others at the laboratory.
14. By filing this motion at this time based on the urgency of this newly-discovered evidence, the defendant does not intend to waive any other claims.
15. An affidavit of counsel, with exhibits, is attached hereto in support of this motion and is incorporated by reference.

WHEREFORE the defendant respectfully requests that the court order a new trial in this matter; and further that the court allow the defendant to supplement this motion with additional material uncovered by further investigation of the drug lab investigation, and discovery received from the Commonwealth.

Respectfully Submitted,

MIGUEL CUEVAS

By his Attorney:



Donna M. Cuipyllo # 632377

Committee for Public Counsel Services

Public Counsel Division

One Salem Green, Suite 408

Salem, Massachusetts 01970

(978) 825-2020

Dated: October 15, 2012

**CERTIFICATE OF SERVICE**

I, Donna M. Cuipyllo, hereby certify that I placed a copy of the foregoing Motion and the attached affidavit in the mail to be sent by first class mail, postage prepaid, tomorrow to Assistant District Attorney Karen Hopwood at the office of the District Attorney, 10 Federal St., Salem, MA 01970.

Dated: 10/15/2015 

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss

ESSEX SUPERIOR COURT  
DOCKET: ESCR 2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

AFFIDAVIT OF COUNSEL IN SUPPORT OF DEFENDANT'S MOTION TO WITHDRAW  
GUILTY PLEA

Now comes defense counsel in the above-captioned case and states the following in support of the defendant's Motion to Withdraw Guilty Plea:

1. CPCS was appointed to represent the defendant in this matter, which was last in court on January 30, 2009. On that date Mr. Cuevas was represented by CPCS attorney Lawrence J. McGuire. The prosecuting attorney was ADA Karen Hopwood of the Essex County District Attorney's office. The plea was heard by Judge Lowy.
2. All of the drug evidence in this case was tested at the William A. Hinton State Laboratory Institute in Jamaica Plain, MA. Annie Dookhan, who worked for the Department of Public Health as a chemist since 2003 and is now criminally charged with respect to her handling of samples at the Hinton lab, was involved in the testing of all of the drug samples in this case. More specifically, there were four drug samples analyzed in this case. Ms. Dookhan was the preliminary chemist for all four of these samples. *I have attached copies of the four drug certificates from this case, provided during the discovery phase of this case by the Commonwealth, to this affidavit, along with copies of the testing results, all of which reflect Ms. Dookhan's signatures.*
3. The Commonwealth has publicly acknowledged in the media, as well as in open court in other cases, that Annie Dookhan has been fired and is currently under investigation for serious improprieties at the lab, including inflating drug weights, contaminating drug samples to ensure positive results, and falsifying drug analysis findings. She has broken the chain of custody for Commonwealth drug evidence in a number of pending and closed cases. Her drug analysis certifications are rendered suspect in that she has been accused by law enforcement officials of falsifying the weight and content of samples. It has been discovered that she misrepresented her educational background by falsely claiming to have a master's of science degree in chemistry from the University of Massachusetts, Boston. She has been criminally charged in relation to her conduct at the Hinton Lab.
4. In a signed statement to the Massachusetts State Police, memorialized in the "AGO State Lab Investigation" packet, Case# 2012-034-2589-0052, p.77) Ms. Dookhan admitted to

*serious malfeasance. I have attached to this affidavit a 2-page portion of the State Police Investigation (Case # 2012-034-2589-0052), which memorializes this statement.*

5. The 101 page State Police packet (Case # 2012-034-2589-0052), referenced in this affidavit and the attached motion has now been widely circulated. I can provided it at request of the Court.
6. Analysis of drugs performed in any laboratory in which she worked is suspect, considering the fact that she was personally involved with all drug samples in this case.

Signed under the pains and penalties of perjury,

A handwritten signature in black ink, appearing to be "D. M. [unclear]", written over a horizontal line.

Date: 10/15/2012

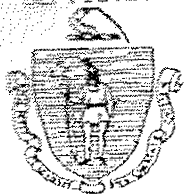
18.2007

3:01PM

DRUG ANALYSIS LAB

NO. 748

P. 3/5



DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN BIGDY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622

DATE RECEIVED: 08/09/2007  
DATE ANALYZED: 09/13/2007

NO. 821976

I hereby certify that the substance

Contained in 1 plastic bag

MARKED: 821976

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.53 grams

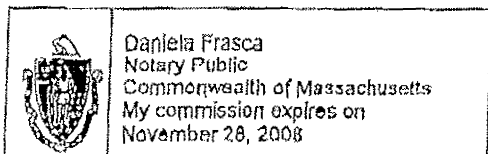
DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS

Annie Dookhan

Kate Corbett

On this day 14<sup>th</sup> day of September 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.

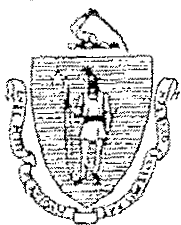


Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the  
\*jurat shall contain a statement that the substance is cocaine, heroin, or other drug, poison, medicine, or chemical analyzed, and the court shall  
\*jurat shall contain a statement that the substance is cocaine, heroin, or other drug, poison, medicine, or chemical analyzed, and the court shall





DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY,  
LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute  
305 South Street  
Boston, MA 02130  
617-983-6622

DATE RECEIVED: 08/09/2007  
DATE ANALYZED: 09/12/2007

NO. 821975

I hereby certify that the substance  
Contained in 1 plastic bag  
Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

MARKED: 821975

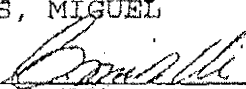
Has been examined with the following results:

The substance was found to contain:

Heroin, (diacetylmorphine) as defined in Chapter 94 C, Controlled  
Substance Act, Section 31, Class A.

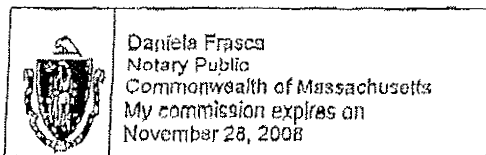
NET WEIGHT: 0.40 grams

DEFENDANT: CUEVAS, MIGUEL

  
ASSISTANT ANALYSTS Annie Dookhan

  
Kate Corbett

On this day 14<sup>th</sup> day of September 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



  
Daniela Frasca, NOTARY PUBLIC  
My commission expires on November 28, 2008

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, medicine, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst.

SEP 18 2007 3:01PM DRUG ANALYSIS LAB



The Commonwealth of Massachusetts  
 Executive Office of Health and Human Services  
 Department of Public Health  
 State Laboratory Institute, 305 South Street  
 Boston, MA 02130  
 617-983-6622

DEVAL L. PATRICK  
 GOVERNOR

TIMOTHY P. MURRAY  
 LIEUTENANT GOVERNOR

JUDYANN BIGBY, MD  
 SECRETARY

JOHN AUERBACH  
 COMMISSIONER

DATE RECEIVED: 08/09/2007  
 DATE ANALYZED: 09/17/2007

NO. 821977

I hereby certify that the substance  
 Contained in 1 plastic bag

MARKED: 821977

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

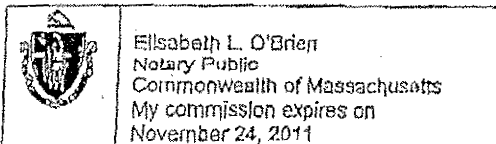
Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
 Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.54 grams

DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS Annie Dookhan Kate Corbett

On this September 18, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Elisabeth L. O'Brien, NOTARY PUBLIC  
 My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the signature of the analyst or assistant analyst, and of the fact that he/she is such.



The Commonwealth of Massachusetts  
Executive Office of Health and Human Services  
Department of Public Health  
State Laboratory Institute, 305 South Street  
Boston, MA 02130  
617-983-6622

DEVAL L. PATRICK  
GOVERNOR

TIMOTHY P. MURRAY  
LIEUTENANT GOVERNOR

JUDYANN GIGBY, MD  
SECRETARY

JOHN AUERBACH  
COMMISSIONER

DATE RECEIVED: 08/09/2007  
DATE ANALYZED: 09/14/2007

NO. 821978

I hereby certify that the substance  
Contained in 1 plastic bag

MARKED: 821978

Submitted by P.O. N. O'DONNELL of the SALEM POLICE DEPT.

Has been examined with the following results:

The substance was found to contain:

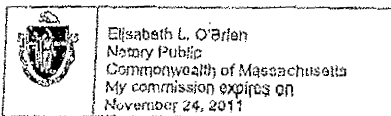
Cocaine, a derivative of Coca leaves, as defined in Chapter 94 C,  
Controlled Substance Act, Section 31, Class B.

NET WEIGHT: 0.15 grams

DEFENDANT: CUEVAS, MIGUEL

ASSISTANT ANALYSTS Annie Dookhan Kate Corbett

On this September 17, 2007, before me, the undersigned notary public, personally appeared the above signed subscriber(s), having proved to me through Department of Public Health documentation to be the person(s) whose name(s) is/are signed on this certificate and to be (an) assistant analyst(s) of the Department of Public Health, and who swore to me that the contents of this document are truthful and accurate to the best of his/her/their knowledge and belief.



Elisabeth L. O'Brien, NOTARY PUBLIC  
My commission expires on November 24, 2011

Chapter 111, Section 13 of the General Laws

This certificate shall be sworn to before a Justice of the Peace or Notary Public, and the jurat shall contain a statement that the subscriber is the analyst or assistant analyst of the department. When properly executed, it shall be prima facie evidence of the composition, quality, and the net weight of the narcotic or other drug, poison, or chemical analyzed, and the court shall take judicial notice of the signature of the analyst or assistant analyst, and of the fact that he/she is such.

3

PRELIM: Heroin

NO. 821975

DATE ANALYZED: 9/12/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 4 ASD

NET WEIGHT: 0.40

• 2KAC

QUANT:

FINDINGS: ~~Heroin~~ Heroin

PRELIM: Cocaine

NO. 821976

DATE ANALYZED: 9/13/07

CITY: SALEM

DEF: CUEVAS, MIGUEL

AM'T: SUB: SUB CONT: 1 PB

#TESTED:

DATE REC: 08/09/2007 FROM: P.O. N. O'DONNELL

GROSS WT: 5.43

# TESTS: 6 ASD

NET WEIGHT: 0.53

• 2KAC

QUANT:

FINDINGS: Cocaine

4

DRUG POWDER ANALYSIS FORM

SAMPLE # 821975 AGENCY Salem ANALYST ADG  
No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

Beige powdered substance  
in 1 pb  
double bagged

Gross Wt ( 1 ): 0.6560  
Gross Wt ( ):             
Pkg. Wt:             
Net Wt: 0.4044

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)  
Marquis +  
Froehde's +  
Mecke's +

Microcrystalline Tests

Gold  
Chloride             
TLTA ( )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Heroin  
DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Heroin  
MS  
OPERATOR KAC  
DATE 9-12-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821976 AGENCY Sullivan ANALYST ASD

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in 1 ps

Gross Wt ( 1 ): 0.5854

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.3398

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate ( + )           

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA ( A )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS cocaine

DATE 08-05-07

GC/MS CONFIRMATORY TEST

RESULTS cocaine

MS  
OPERATOR KAC

DATE 9-13-07

# DRUG POWDER ANALYSIS FORM

SAMPLE # 821977 AGENCY Salem ANALYST ASO  
 No. of samples tested:            Evidence Wt.           

## PHYSICAL DESCRIPTION:

white powdered substance  
 in 1 pb  
 double bagged

Gross Wt ( 1 ): 0.7725  
 Gross Wt ( ):             
 Pkg. Wt:             
 Net Wt: 0.5445

## PRELIMINARY TESTS

### Spot Tests

Cobalt  
 Thiocyanate (+)  
 Marquis -  
 Froehde's -  
 Mecke's -

### Microcrystalline Tests

Gold  
 Chloride +  
 TLTA (+)

### OTHER TESTS

## PRELIMINARY TEST RESULTS

RESULTS Cocaine  
 DATE 09-05-07

## GC/MS CONFIRMATORY TEST

RESULTS Cocaine  
 MS  
 OPERATOR KAC  
 DATE 09-17-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821978 AGENCY Salem ANALYST ASD

No. of samples tested;           

Evidence Wt.           

PHYSICAL DESCRIPTION:

off white chunky substance  
in 1 pb

Gross Wt ( 1 ): 0.2292

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.1520

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate ( - ) +

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA ( - ) +

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-03-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 9-14-07



4

DRUG POWDER ANALYSIS FORM

SAMPLE # 821975 AGENCY Salem ANALYST ABJ

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

Beige powdered substance  
in 1 pb  
double bagged

Gross Wt ( ): 0.6560

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.4044

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis +

Froehde's +

Mecke's +

Microcrystalline Tests

Gold  
Chloride           

TLTA ( )           

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Heroin

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Heroin

MS  
OPERATOR KAC

DATE 9-12-07

DRUG POWDER ANALYSIS FORM

SAMPLE # 821976 AGENCY Salem ANALYST ASD

No. of samples tested:           

Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in 1 ps

Gross Wt ( 1 ): 0.5854

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.5398

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS cocaine

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS cocaine

MS  
OPERATOR KAC

DATE 9-13-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821977 AGENCY Salem ANALYST AJO

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

white powdered substance  
in 1 pb  
double bagged

Gross Wt (    ): 0.7725

Gross Wt (    ):           

Pkg. Wt:           

Net Wt: 0.5445

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate (+)

Marquis —

Froehde's —

Mecke's —

Microcrystalline Tests

Gold  
Chloride +

TLTA (+)

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-05-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 09-17-07

Revised 7/2005

DRUG POWDER ANALYSIS FORM

SAMPLE # 821978 AGENCY Salem ANALYST ASD

No. of samples tested:            Evidence Wt.           

PHYSICAL DESCRIPTION:

off white chunky substance  
in 1 pb

Gross Wt ( 1 ): 0.2292

Gross Wt ( ):           

Pkg. Wt:           

Net Wt: 0.520

PRELIMINARY TESTS

Spot Tests

Cobalt  
Thiocyanate ( - ) +

Marquis -

Froehde's -

Mecke's -

Microcrystalline Tests

Gold  
Chloride +

TLTA ( - ) +

OTHER TESTS

PRELIMINARY TEST RESULTS

RESULTS Cocaine

DATE 09-03-07

GC/MS CONFIRMATORY TEST

RESULTS Cocaine

MS  
OPERATOR KAC

DATE 9-14-07



AGO State Lab  
Investigation  
000077

**Massachusetts State Police**  
**Office of the Attorney General**  
**One Ashburton Place, Room 1910**  
**Boston, MA 02108**

**To:** Lieutenant Colonel Francis J. Matthews *FJM* 9-12-12.  
Commanding, Division of Investigative Services

**From:** Detective Lieutenant Robert M. Irwin  
Commanding, MSP-AGO Detective Unit

**Subject:** Signed Statement of Annie Dookhan

**Case #:** 2012-034-2589-0052

1. On August 28, 2012 at the conclusion of the interview with Annie Dookhan, I wrote out a brief summary of portions of the interview between Annie Dookhan, detective Captain Mason and me. I had Annie Dookhan read the statement and asked if it was accurate. After she agreed that the statement was accurate I had her acknowledge such by signing at the bottom. Below is the complete content of the written statement. The original is currently secured with the case file kept by this officer.
2. I, Annie Dookhan, had taken out samples of safe and tested them without them being signed out as proper procedure. I also went in the Evidence Log book and postdated and filled the log book in. I signed my initials and an Evidence Officer's initials in the book. That was my mistake and I can't deny that. I also batched, put similar samples together, and tested some and not others; I "dry labbed." I have been doing it for about two to three years. At times, a few, I had to add to a sample that came back from Mass Spec to make it what I said it was. I would get the sample from a known sample. I would try to clean it, the original, up first but if it didn't I would need to take something, drugs, from another case. I intentionally turned a negative sample into a positive a few times.
3. Annie S. Dookhan 6:45p.m. 8-28-2012  
I voluntarily signed this document, and it is true.  
DLT RM Irwin 8/28/12 1845  
DCPT JV Mason 8/28/12 1845 hrs



AGO State Lab  
Investigation

000078

Respectfully Submitted,

*Robert M. Irwin #1230*

Robert M. Irwin  
Detective Lieutenant, #1230  
Massachusetts State Police  
Office of the Attorney General

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss

ESSEX SUPERIOR COURT  
DOCKET: ESSEX 2007-1535  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

COMMONWEALTH

OCT 28 2012

v.

MIGUEL CUEVAS

  
CLERK

DEFENDANT'S MOTION FOR POST-CONVICTION DISCOVERY

Now comes the Defendant in the above-entitled matter and moves this Court, pursuant to Rule 30(c)(4) of the Massachusetts Rules of Criminal Procedure, to order the Commonwealth to provide the Defendant with the following information related to the suspected Class B and Class A substances charged against him. As grounds therefore, counsel for defendant states the following:

1. All controlled substances in this case were tested, either on a preliminary or confirmatory basis, by Annie Dookhan at the Hinton State Laboratory Institute, also known as the Department of Public Health Drug Lab.
2. This drug laboratory has been shut down and is under investigation for allegations of malfeasance and deliberate mishandling of drug evidence, and Annie Dookhan has been criminally charged for her actions at the lab, as is described in the affidavit of counsel in support of the defendant's motion to withdraw his guilty plea, filed this day in accordance with Rule 30(c)(3), which motion and affidavit are incorporated herein by reference.

Wherefore the defendant requests that the Commonwealth be ordered to provide the following discovery:

1. A copy of the complete laboratory file, documenting the receipt, processing, analysis and reporting of tests on the substances seized in this case, as well as supporting, relevant documentation, including but not limited to:
  - a. A list and curriculum vitae of all the chemist(s), assistants, evidence officers and laboratory workers who handled the substances in this case.
  - b. Identification of all evidence officers who assisted in signing out drug evidence in this case to the chemists and identification of all evidence officers who received drug evidence after testing, including qualifications and status as members of law enforcement.

- c. A copy of all lab protocols and procedures pertaining to chain of custody, weighing, and preliminary and confirmatory testing, that were used in testing controlled substances in this case.
- d. A description of the methods employed by the laboratory and staff to track samples (such as a bar code system) used at the Hinton State Laboratory Institute in effect at the time drugs were tested in this case.
- e. A list of any and all local, state, national government certification, accreditation, and licenses received by the Hinton State Laboratory Institute, as well as any certifications, or accreditations received by independent, or non-governmental organizations that were in effect at the time of testing drugs in this case.
- f. Documentation of the weekly, daily, and hourly quality assurance or "QC" checks at the Hinton State Laboratory Institute at the time the evidence was tested in this case.
- g. A description of the evidence lockers or containers used by chemists at the Hinton State Laboratory Institute while in possession or custody of the drugs, including rules, regulations and practices regarding the security of these containers or lockers and access to the lockers by other chemists and/or supervisors at the time evidence was tested in this case.
- h. Any handwritten notes produced by the chemist, assistants and laboratory workers who handled the substances in this case.
- i. All log entries and computer tracking entries and tracking numbers relative to the receipt of the drug evidence, transfer of the drug evidence to a chemist or chemists, and return of the drug evidence to the evidence office or officer.
- j. Documentation regarding the delivery and receipt of the substance in this case to the lab, as well as any documentation or notations recording the processes of weighing, and drawing testing samples from the substance in this case.
- k. A description of the method used to draw or cut or otherwise obtain the actual sample[s] tested in this case.
- l. Identification of the equipment used to conduct preliminary and confirmatory testing, as well as copies of operation manuals, training manuals, and records of maintenance for the same.
- m. A statement of the mathematical certainty or probability of the reported results of chemical analysis or testing.
- n. Records and documentation of the adulterant standard, as well as any data, instrumental tracings, printouts, graphs, or documentation indicating the presence of adulterants in the test sample.
- o. A copy of any and all error logs generated in the lab at the time that the substance in this case was tested.



p. Lab records of standard deviation rates for given substances.

Respectfully Submitted,  
Miguel Cuevas  
By his Attorney:

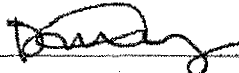


Donna M. Cuipyo BBO # 632377  
Committee for Public Counsel Services  
Public Counsel Division  
One Salem Green, Suite 408  
Salem, Massachusetts 01970  
(978) 825-2020

Dated: October 15, 2012

**CERTIFICATE OF SERVICE**

I, Donna M. Cuipyo, hereby certify that I placed a copy of the foregoing Motion and the attached affidavit in the mail to be sent by first class mail, postage prepaid, tomorrow to Assistant District Attorney Karen Hopwood at the office of the District Attorney, 10 Federal St., Salem, MA 01970.

Dated: 10/15/2012 

30

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss

ESSEX SUPERIOR COURT  
DOCKET: ESCR 2007-1535

COMMONWEALTH

FILED  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX

v.

OCT 18 2012

MIGUEL CUEVAS

*Thomas H. Bennett Jr.*  
CLERK

MOTION FOR STAY OF EXECUTION OF SENTENCE

NOW comes the above captioned defendant, and respectfully requests pursuant to Mass. R. Crim. P. 31 that the execution of his sentence be stayed, and that he be immediately released from custody, pending resolution of his Motion to Withdraw Guilty Plea now pending before this court.

The defendant states as his grounds for this request the following:

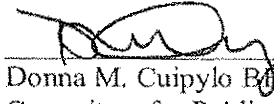
1. The defendant pled guilty to three counts of Possession with Intent to Distribute a Class B Substance and one count of Possession with Intent to Distribute a Class A substance, both violations of M.G.L. c. 94C section 31, on January 30, 2009 on and received a sentence of 4 ½ - 5 years in state prison, all sentences to be served concurrently with one another.
2. Chemist Annie Dookhan, who carried out the testing on the alleged controlled substance, has been identified by law enforcement officials as a person who intentionally contaminated drug evidence to ensure positive tests, inflated drug sample weights, falsified drug analysis findings, and fraudulently altered chain of custody documents during a time period relevant to this case. As a consequence of that investigation, two other laboratory supervisors have been suspended, and the drug laboratory in Jamaica Plain has been completely closed down.
3. As a result of Ms. Dookhan's conduct, the defendant's guilty plea was not knowing and voluntary, and therefore violates the Fourteenth Amendment and Article 14.
4. As a result of the misconduct of Ms. Dookhan and/or other employees of the lab, which is imputed to the Commonwealth, the defendant was deprived of due process by the failure of the Commonwealth to provide true and accurate discovery prior to his guilty plea, in violation of Fourteenth Amendment and Article 14. Brady v. Maryland, 373 U.S. 83 (1963).

1  
howe, J. 11-9-12  
Withdrawn, cont to  
12/10/12 @ 9AM status  
AHEST-Patten

5. The misconduct of Ms. Dookhan constitutes newly discovered exculpatory evidence.
6. At a minimum, the question whether Ms. Dookhan's misconduct renders the defendant's guilty plea unconstitutional or otherwise unlawful is a claim with "some reasonable possibility of success," and presents an issue "worthy of presentation to an appellate panel." Commonwealth v. Levin, 7 Mass. App. Ct. 501, 504 (1979).
7. Mr. Cuevas' prior default is related to the issuance of a straight warrant and appears to have been cured the same day it issued, suggesting that Mr. Cuevas was simply late to court. At this time, Mr. Cuevas has served most of his sentence, with just a few weeks remaining to be served.
8. The defendant presents no significant danger, has a good likelihood of success on the merits, and will comply with such conditions as the court might set.

Wherefore, the defendant asked that the above-described relief be granted.

Respectfully Submitted,  
Miguel Cuevas  
By his Attorney:




Donna M. Cuipyllo BBO # 632377  
Committee for Public Counsel Services  
Public Counsel Division  
One Salem Green, Suite 408  
Salem, Massachusetts 01970  
(978) 825-2020

Dated: October 15, 2012

**CERTIFICATE OF SERVICE**

I, Donna M. Cuipyllo, hereby certify that I placed a copy of the foregoing Motion and the attached affidavit in the mail to be sent by first class mail, postage prepaid, tomorrow to Assistant District Attorney Karen Hopwood at the office of the District Attorney, 10 Federal St., Salem, MA 01970.

Dated: 10/15/2012





# The Commonwealth of Massachusetts

Committee for Public Counsel Services

One Salem Green, Suite 408

Salem, Massachusetts 01970-3724

Telephone: (978) 825-2020

Fax: (978) 741-8567

ANTHONY J. BENEDETTI  
CHIEF COUNSEL

REBECCA EPSTEIN WHITEHILL  
ATTORNEY-IN-CHARGE

October 15, 2012

Office of the Clerk Magistrate  
Criminal Division  
(Attn: Drug Lab case coordinator)  
Essex Superior Court  
J. Michael Ruane Judicial Center  
56 Federal Street  
Salem 01970

CLERK  
OCT 18 2012  
IN THE SUPERIOR COURT  
FOR THE COUNTY OF ESSEX  
FILED

Re: Commonwealth v. Miguel Cuevas  
(ESCR 2007-1535)

Dear Clerk of Courts:

Please find for filing: (1) the Defendant's Motion to Withdraw Guilty Plea; (2) Defendant's Motion for Post-Conviction Discovery; and (3) Defendant's Motion for Stay of Execution of Sentence.

A copy of this these motions were sent to Assistant District Attorney Karen Hopwood.

Mr. Cuevas is currently being held at the Old Colony Correctional Center in Bridgewater, Ma. It is my understanding that this case will be scheduled for the pre-set date for this facility: **Thursday, November 15, 2012.**

At your earliest convenience, please call me to confirm that Mr. Cuevas' case will be set for a video-conferenced hearing on that date. My telephone number is (978) 825-2020.

Thank you for your assistance.

Sincerely,

Donna M. Cuipyo

Enclosures: Defendant's Motion to Withdraw Guilty Plea  
Defendant's Motion for Post-Conviction Discovery  
Defendant's Motion for Stay of Execution of Sentence

Cc: ADA Karen Hopwood, Office of the Essex County District Attorney, 10 Federal St.,  
Salem, MA 01970

Miguel Cuevas #W95772, 1 Administration Road, Bridgewater, MA 02324

ESSEX, SS

ESSEX SUPERIOR COURT  
No. 2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

COMMONWEALTH'S OPPOSITION TO THE  
DEFENDANT'S MOTION TO STAY EXECUTION OF SENTENCE

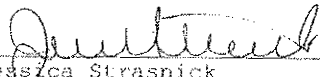
The Commonwealth opposes the defendant's motion to stay the execution of his sentence. The defendant's motion must be denied as no authority exists that provides for a stay of the execution of the defendant's sentence without a pending direct appeal, see Mass. R. Crim. P. 31, or a pending appeal from a ruling on a Motion for a New Trial, see Mass. R. Crim. P. 30(c)(8)(a). Neither situation applies here.

Should the Court consider the merits of the defendant's motion, it should still be denied because he cannot show he a) is likely to succeed on his motion for new trial; and b) is not a security risk. Cf. Commonwealth v. Cohen, 456 Mass. 128, 131 (2010) ("Two considerations govern the discretion that each judge or Justice may exercise in reviewing a stay request: security and likelihood of success on appeal."). The Commonwealth relies on its oral argument at the hearing on the defendant's motion as support for its position that the defendant cannot meet either of these prongs.

As such, the Commonwealth's respectfully requests that the  
Court deny the defendant's motion to stay the execution of his  
sentence.

FOR THE COMMONWEALTH:

JONATHAN W. BLODGETT  
DISTRICT ATTORNEY  
FOR THE EASTERN DISTRICT

  
\_\_\_\_\_  
Jessica Strasnick  
Ten Federal Street  
Salem, Massachusetts 01970  
(978) 745-6610  
BBO # 66099

32

COMMONWEALTH OF MASSACHUSETTS

ESSEX, ss

SUPERIOR COURT  
NO. ESCR2007-1535

COMMONWEALTH

v.

MIGUEL CUEVAS

10/3/13 Filed in  
To be Opened  
argued on 11/14/13

MOTION FOR DISCOVERY RE: EXAMINATION-TESTING OF ALLEGED NARCOTICS

Now comes the Defendant in the above-entitled matter and moves that this Honorable Court order the Commonwealth to provide him with the following discovery:

*Materials pertaining to the September 2007 analyses of the alleged controlled substances:*

- I. Notice of all scientific testing and/or analyses performed on the alleged controlled substances in this case, including but not limited to:
  - a. Drug receipts
  - b. Control Cards (front and back)
  - c. Powder sheets
  - d. Control Sheets
  - e. Batch Sheets
  - f. Sequence Tables
  - g. GC/MS Method Data
  - h. Tune Reports
  - i. Quality Control Mix Reports
  - j. GC/MS results for the evidentiary samples that were tested in this case along with the results of all associated blanks and standards.
  - k. All information regarding the standards and reagents used in the analysis of the samples in this case, including but not limited to:
    - i. The manufacturer;
    - ii. The lot number;
    - iii. The expiration date;
    - iv. The certification of analysis; and
    - v. Any notes or computer entries regarding the in-house preparation of reagents and standards.
  - l. The manufacturer, model number, and serial number of all instruments and balances used in the analysis of the samples in this case.

12/19/13  
After oral argument, the ADA (Ashby Logan) is ordered to respond to this Motion for discovery item by item, as to whether produced already, not available, newly ordered and soon available  
not producible by law, etc.  
This written response is due to def atty by 2/13/14.  
Special Judicial Magistrate

- m. Records of any in-house calibration of the balances or scales used in the weighing of the samples in this case for the period of time spanning both the month prior to and the month after testing, as well as the most recent certificate of calibration of said balances by an external vendor.
  - n. Records of any Q/C analysis performed on the instruments and balances used in the testing of samples in this case for the six months prior to the performance of testing in this case.
  - o. Validation records, including all validation study data regarding the instruments and methods used in the analysis of the substances in this case.
  - p. All other analytical data derived from the testing and analyses of the alleged controlled substances in this case.
  - q. All other analytical data derived from all testing and analyses of the standards used during the testing and analysis of the alleged controlled substances in this case.
2. Any and all documents or log entries pertaining to the chain of custody of the alleged controlled substances, including, but not limited to:
- a. All computer and/or handwritten logbook entries of transfers of samples or subsamples between the evidence office/safe and lab personnel or between different lab personnel during testing.
  - b. Any other notes, handwritten or digitally entered, of chemists or other laboratory personnel indicating that they were involved in the analyses of the alleged controlled substances in this case.
3. Notice as to nature of any sampling plan(s), (statistical or non-statistical), and/or sampling procedure(s) employed in connection with the analyses of the alleged controlled substances, and documentation of all calculations made in the generation and implementation of such plan(s) and procedure(s).
4. All other reports or notes reflecting results of testing and/or analyses of the alleged controlled substances in this case.

*Protocols, quality control, accreditation, proficiency testing and analysts' CV's:*

5. Records regarding the protocols in place relative to the types of specific testing and analyses performed on the alleged controlled substances in this case.
6. Records regarding the protocols in place relating to general laboratory procedures, including, but not limited to:
- a. The cleaning and maintenance of lab work spaces, equipment, and utensils;
  - b. The recording and documenting of results and procedures; and
  - c. The recording and documentation of inconsistencies between results and other adverse/unusual events or problems.
7. Quality control manuals for all instruments, balances, solutions and reference standards used in connection with the analyses of the alleged controlled substances.



8. Records of the quality control/quality assurance work performed on all instruments, balances, solutions and reference standards used in connection with the analyses and weighing of the alleged controlled substances, including records of testing, calibration, cleaning and other routine maintenance and all repairs.
9. Records relating to the training, continuing education, proficiency testing, and technical reviews or audits of all laboratory personnel involved in the analyses and/or weighing of the alleged controlled substances in this case. (Records of training should include any and all laboratory handouts, outlines, PowerPoint presentations, reading lists, syllabi, or other training materials provided to or prepared by laboratory staff.)
10. Records of any disciplinary action taken relative to the custodial chemist, GC/MS chemist, evidence officer, or any other laboratory staff member who handled evidence in this case.
11. The curriculum vitae of all laboratory personnel involved in the analyses or weighing of the alleged controlled substances.

*Laboratory communications*

12. All internal and external e-mails, notes, and/or memos created by the DPH Hinton Drug Laboratory staff regarding the possible accreditation of the lab and/or any attempts to pursue accreditation.
13. All e-mail communications between any law enforcement personnel or prosecutor's office and the custodial chemist, GC/MS chemist(s), or evidence officer(s) that handled the substances that were tested in this case, including but not limited to: communications with ADA's or any other DA's office staff, police officers; police department administrative staff, AUSA's or any other staff of the United States Attorney's Office; or any other federal law enforcement personnel, including but not limited to agents or staff of the FBI, DEA, ATF, DHS, and the Treasury Department.
14. Any Priority Sample Request Forms employed relative to the analyses of the substances in this case, reflecting the name of the ADA/USA requesting priority handling and the initials of the assigned chemist.

*Notice re: analysts' access to police report(s):*

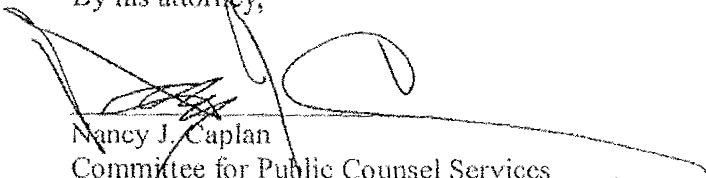
15. Notice as to whether any police reports prepared in this case were made available to any laboratory personnel involved in the testing of the alleged controlled substances and, if so, notice as to which reports were provided to the laboratory.

*Information and materials pertaining to testing and/or inspection of alleged controlled substances by police personnel and qualifications of police personnel who performed such testing and/or inspection:*

16. Notice of all testing and/or inspections performed on the alleged controlled substances by police personnel *which the Commonwealth intends to offer at trial*, including visual, tactile and/or olfactory inspection and "field testing."
17. Names of police personnel who performed such inspection and/or tests and the education, training, experience and certification of such personnel relative to the testing methods used.
18. When and where such testing and/or inspection was performed and names of persons present.
19. Any police protocols, rules or other guidelines in place relative to the testing and/or inspection methods used.
20. All reports, notes, or other documentation prepared by police personnel relative to the testing and/or inspection.
21. The make and model of any kits, devices or other materials and/or instruments used in "field testing" of the alleged narcotics and user manuals and training materials associated with such kits, devices and/or instruments.

MIGUEL CUEVAS

By his attorney,



Nancy J. Caplan  
Committee for Public Counsel Services  
7 Palmer Street.  
Boston, MA 02119  
617-445-7581

# **ANNIE DOOKHAN PROSECUTION**

### PROBABLE CAUSE STATEMENT

During the month of August, 2012, Massachusetts State Police Detective Captain Joseph Mason and I were assigned to investigate potential misconduct at the William A. Hinton State Drug Laboratory in Jamaica Plain ("Hinton Laboratory"). As the investigation progressed we began to look at specific misconduct committed by Chemist Annie Dookhan. During our investigation, we have had the opportunity to interview numerous witnesses and review laboratory and court documents pertaining to specific criminal cases.

On August 21, 2012, Detective Captain Mason and I interviewed Chemist Daniel Renczowski. Renczowski is currently a Chemist II employed by the Commonwealth of Massachusetts and was assigned to the Hinton laboratory from October of 2005 until the lab's closing a few weeks ago. Renczowski informed Detective Captain Mason and I that he worked with Annie Dookhan for approximately seven years. Renczowski further stated that on one particular day prior to April or May of 2011 an incident occurred with a sample that Dookhan allegedly tested and determined to be cocaine. According to Renczowski, on this particular day he was assigned to run samples on the mass spectrometry, a machine that analyzes suspected narcotics to see if they are indeed narcotics.<sup>1</sup> Renczowski stated that he ran samples that Dookhan submitted and observed that the samples tested negative for cocaine. Because of this result, Renczowski ran Dookhan's sample a second time, again receiving a negative result. Renczowski went on to state that the samples were returned to Dookhan and he was not informed what happened with the case at that point. I have filed a five page report containing a summary of my entire interview with Mr. Renczowski.

On August 28, 2012, Detective Captain Mason and I interviewed Chemist Annie Dookhan at her home. Initially Ms. Dookhan denied doing anything improper in regards to her analysis of drug samples. As the interview went on, we confronted Ms. Dookhan with information about a particular re-test from a Boston Police case and other anomalies reported to us about her testing procedure and results. When confronted with this information Dookhan became sad and stated "I screwed up big time, I messed up, I messed up bad, it's my fault." She then went on to explain that instead of conducting a preliminary test on each sample she would secure a large number of samples, group them on her bench by the same suspected drug type and test a few samples from each group. She stated that she would group approximately twenty-five of each suspected drug type and test approximately five from each group. She would then prepare all of the samples to be sent to the mass spectrometry. According to Dookhan, if a sample was returned to her from mass spectrometry as a different drug or as being negative for drugs she would try and "clean it up" by making a more concentrated sample or using "more of the sample." Dookhan further admitted that on a few occasion she intentionally turned a negative sample into a positive sample. Dookhan was not able to tell us which particular cases were

---

<sup>1</sup> The mass spectrometry is a confirmatory test used to check or confirm the test results done by the original chemist in the preliminary testing phase.

§ 13B, Obstruction of Justice/Misleading a Jury/Judge/Prosecutor and Defense Lawyer pursuant to m.g.l c. 268 § 13B and Falsely Pretending to Hold a Degree From a College or University pursuant to m.g.l. c. 266 § 89.

The investigation is ongoing and the above report is for the purposes of arraignment only and will be supplemented by additional reports.

Respectfully Submitted,

Detective Lieutenant Robert M. Irwin #1230

**Commonwealth of Massachusetts  
SUFFOLK SUPERIOR COURT  
Case Summary  
Criminal Docket**

---

**Commonwealth v Dookhan, Annie**

---

Details for Docket: SUCR2012-11155

**Case Information**

<b>Docket Number:</b>	SUCR2012-11155	<b>Caption:</b>	Commonwealth v Dookhan, Annie
<b>Entry Date:</b>	12/17/2012	<b>Case Status:</b>	Criminal 1 Ctrm 704
<b>Status Date:</b>	11/22/2013	<b>Session:</b>	Disposed (sentenced)
<b>Lead Case:</b>	NA	<b>Deadline Status:</b>	Active since
<b>Trial Deadline:</b>	12/20/2012	<b>Jury Trial:</b>	NO

---

**Parties Involved**

---

2 Parties Involved in Docket: SUCR2012-11155

<b>Party Involved:</b>		<b>Role:</b>	Defendant
<b>Last Name:</b>	Dookhan	<b>First Name:</b>	Annie
<b>Address:</b>	3 Birch Street	<b>Address:</b>	
<b>City:</b>	Franklin	<b>State:</b>	MA
<b>Zip Code:</b>	02038	<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Plaintiff
<b>Last Name:</b>	Commonwealth	<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

---

**Attorneys Involved**

---

3 Attorneys Involved for Docket: SUCR2012-11155

**Attorney**

**Involved:**  
**Last Name:** Gordon  
**Address:** 200 Chauncy Street  
**City:** Mansfield  
**Zip Code:** 02048  
**Telephone:** 774-254-4411  
**Fascimile:** 508-339-3535

**Firm Name:**  
**First Name:** Nicolas A  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Dookhan, Annie (Defendant)

**Attorney Involved:**  
**Last Name:** Kaczmarek  
**Address:** 1 Ashburton Place  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:** 617-727-2200  
**Fascimile:** 617-727-5768

**Firm Name:** MA02  
**First Name:** Anne  
**Address:** 19th Floor  
**State:** MA  
**Zip Ext:**  
**Tel Ext:** 2677  
**Representing:** Commonwealth, (Plaintiff)

**Attorney Involved:**  
**Last Name:** Verner  
**Address:** 1 Ashburton Place  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:** 617-727-2200  
**Fascimile:** 617-727-5768

**Firm Name:** MA02  
**First Name:** John  
**Address:** 17th floor  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

---

## Calendar Events

---

18 Calendar Events for Docket: SUCR2012-11155

No.	Event Date:	Event Time:	Calendar Event:	SES:	Event Status:
1	12/20/2012	09:30	Arraignment	CM	Event held as scheduled
2	02/13/2013	09:30	Conference: Pre-Trial	CM	Event held as scheduled
3	04/02/2013	09:30	Status: Filing deadline	CM	Event held as scheduled
4	04/26/2013	09:00	Hearing: Motion	1	Event held as scheduled
5	05/07/2013	09:00	Hearing: Motion	1	Event held as scheduled
6	05/31/2013	09:00	Hearing: Discovery Motions	1	Event held as scheduled
7	06/27/2013	09:00	Hearing: Motion	1	Event held as scheduled
8	07/29/2013	09:00	Conference: Lobby	1	Event canceled not re-scheduled
9	08/16/2013	09:00	Conference: Status Review	1	Event held as scheduled

10	08/19/2013	09:00	Hearing: Motion	1	Event canceled not re-scheduled
11	08/19/2013	09:00	Conference: Final Pre-Trial	3	Event canceled not re-scheduled
12	09/09/2013	09:00	TRIAL: by jury	3	Event rescheduled by court prior to date
13	10/11/2013	09:00	Conference: Lobby	1	Event canceled not re-scheduled
14	10/18/2013	12:00	Conference: Lobby	1	Event held as scheduled
15	10/30/2013	09:00	Hearing: Evidentiary-suppression	9	Event canceled not re-scheduled
16	11/22/2013	12:00	Hearing: Plea Change	1	Event held as scheduled
17	12/30/2013	09:00	Conference: Final Pre-Trial	3	Event canceled not re-scheduled
18	01/06/2014	09:00	TRIAL: by jury	3	Event canceled not re-scheduled

---

## Full Docket Entries

---

207 Docket Entries for Docket: SUCR2012-11155

Entry Date:	Paper No:	Docket Entry:
12/17/2012	1	Indictment returned
12/17/2012	2	MOTION by Commonwealth for summons of Deft to appear; filed & allowed
12/17/2012	2	(Ball, J)
12/17/2012		Summons for arraignment issued ret 12/20/12
12/20/2012		Defendant came into court
12/20/2012	3	Appearance of Deft's Atty: Nicolas A Gordon
12/20/2012		Deft arraigned before Court
12/20/2012		Deft waives reading of indictment
12/20/2012		RE Offense 1:Plea of not guilty
12/20/2012		RE Offense 2:Plea of not guilty
12/20/2012		RE Offense 3:Plea of not guilty
12/20/2012		RE Offense 4:Plea of not guilty
12/20/2012		RE Offense 5:Plea of not guilty
12/20/2012		RE Offense 6:Plea of not guilty
12/20/2012		RE Offense 7:Plea of not guilty
12/20/2012		RE Offense 8:Plea of not guilty
12/20/2012		RE Offense 9:Plea of not guilty
12/20/2012		RE Offense 10:Plea of not guilty
12/20/2012		RE Offense 11:Plea of not guilty
12/20/2012		RE Offense 12:Plea of not guilty
12/20/2012		RE Offense 13:Plea of not guilty
12/20/2012		RE Offense 14:Plea of not guilty
12/20/2012		RE Offense 15:Plea of not guilty
12/20/2012		Bail satisfied: \$100,000.00 Surety or \$10,000.00 Cash w/o/p. Bail
12/20/2012		warning read. COB: (1). GPS Monitoring. (2). Curfew 10pm - 6am. (3).



12/20/2012		Surrender Passport to Suffolk Superior Court Probation Dept. (4). No
12/20/2012		contact w/the former and/or current employees of the Hinton State Lab
12/20/2012		in Jamaica Plain, MA. Said bail having been met, posted & verified
12/20/2012		via phone is ordered transferred from Boston Municipal Court
12/20/2012		#1201CR4356. Transfer of Bail Sheet on File.
12/20/2012	4	Commonwealth files notice of appearance.
12/20/2012	5	Commonwealth files statement of the case.
12/20/2012	6	Commonwealth files first certificate of discovery.
12/20/2012		Assigned to Track "B" see scheduling order
12/20/2012		Tracking deadlines Active since return date
12/20/2012		Continued to 2/13/2013 for hearing on PTC & Setting of the Balance of
12/20/2012		the Tracking Order. (Gary D. Wilson. Magistrate) - A. Kaczmarek, AAG
12/20/2012		- ERD/JAVS - J. Verner/N. Gordon, Attorney
02/01/2013		Defendant not present
02/01/2013	7	Commonwealth files Motion for Order to Disseminate Grand Jury
02/01/2013	7	Materials to Certain Parties
02/01/2013		Continued to 2/4/2013 by agreement for hearing re: motion. McIntyre,
02/01/2013		J - A. Kaczmarek, AAG - ERD
02/04/2013		Defendant not present
02/04/2013		MOTION (P# 7) denied without prejudice in part and allowed in part as
02/04/2013		endorsed. (see endorsement) McIntyre, J - A. Kazmarek, AAG - ERD
02/13/2013		Defendant came into court
02/13/2013	8	Pre-trial conference report filed
02/13/2013	9	Commonwealth files third certificate of discovery.
02/13/2013		Case Tracking scheduling order (Gary D. Wilson. Magistrate) mailed
02/13/2013		2/13/2013
02/13/2013		Continued to 6/27/2013 for hearing on PTH
02/13/2013		Continued to 8/19/2013 for hearing on FPTH
02/13/2013		Continued to 9/9/2013 for hearing on PTD
02/13/2013		Continued to 4/2/2013 for hearing on filing of motions. (Gary D.
02/13/2013		Wilson. Magistrate) - A. Kaczmarek, ADA - ERD/JAVS - N. Gordan,
02/13/2013		Attorney
02/26/2013		Defendant not present
02/26/2013	10	Commonwealth files Motion for Order to Disseminate Grand Jury
02/26/2013	10	Materials to Certain Parties
02/26/2013		MOTION (P#10) allowed. McIntyre, J - V. Demore, ADA - ERD
02/28/2013	11	Commonwealth files Motion for Release of Grand Jury Minutes to the
02/28/2013	11	Office of the Inspector General
02/28/2013		MOTION (P#11) allowed as endorsed. McIntyre, J
02/28/2013	12	ORDER for Release of Grand Jury Minutes to the Office of the
02/28/2013	12	Inspector General, filed. McIntyre, J
04/02/2013		Defendant not present
04/02/2013		

	13	Deft files motion to seal.
04/02/2013		MOTION (P#13) allowed
04/02/2013	14	Deft files motion to dismiss and (UNDER SEAL) pursuant to MGL Ch.
04/02/2013	14	268, Sec 15D(e).
04/02/2013		Continued to 4/26/2013 for hearing on Motion. (Gary D. Wilson.
04/02/2013		Magistrate) - A. Kaczmarek, ADA -ERD/JAVS - A. Singh for N. Gordon,
04/02/2013		Attorney
04/23/2013		Defendant not present
04/23/2013	15	Commonwealth files Motion to File Under Seal
04/23/2013	16	Commonwealth files Memorandum of Law in Opposition to Defendant's
04/23/2013	16	Motion to Dismiss (SEALED) Locke, RAJ - A. Kazmareck, AAG - ERD
04/26/2013		Defendant came into court - hearing re: motion to dismiss (P#14)
04/26/2013		After hearing on (P#14) was held, matter taken under advisement
04/26/2013		The Court vacates the order sealing deft's motion to dismiss (P#14)
04/26/2013		with incorporated affidavit and memorandum of law in support thereof.
04/26/2013	17	Commonwealth files Motion to Consolidate Cases for the Purpose of
04/26/2013	17	Resolving Common Pre Trial Motions
04/26/2013		Continued to 5/7/2013 by agreement for hearing re: Commonwealth's
04/26/2013		motion to consolidate. Locke, RAJ - A. Kaczmarek, AAG - ERD - N.
04/26/2013		Gordon, Attorney
05/07/2013		Defendant came into court
05/07/2013		MOTION (P#14) denied. Locke, RAJ (See Memorandum of Decision and
05/07/2013		Order dated 5/7/13)
05/07/2013	18	Memorandum of Decision and Order on Deft's Motion to Dismiss Counts
05/07/2013	18	Two and Three, filed. Locke, RAJ
05/07/2013		Commonwealth's Motion to Consolidate Cases (P#17) referred to Rouse,
05/07/2013		CJ (Copy sent to Rouse, CJ 5/7/13)
05/07/2013		Continued to 5/31/2013 by agreement for hearing re: discovery motions
05/07/2013		(Motions to be filed by 5/24/13) Locke, RAJ - A. Kaczmarek, AAG - ERD
05/07/2013		- N. Gordon, Attorney
05/09/2013		MOTION (P#17) allowed. Rouse, CJ (Notice sent to N. Gordan, Atty
05/09/2013		w/copy of endorsement; A. Kaczmarek, AAG given copy in hand; Norfolk
05/09/2013		and Essex Counties notified)
05/29/2013	19	Deft files Motion for Discovery.
05/31/2013	20	Deft files Motion to Dismiss
05/31/2013	21	Commonwealth files Memorandum of law in opposition to defendant's
05/31/2013	21	Motion to dismiss
06/27/2013		Defendant came into court - hearing re: motions
06/27/2013	22	Deft files Motion for Discovery
06/27/2013		MOTION (P# 22) allowed by agreement. Locke, RAJ (see endorsement)
06/27/2013	23	Commonwealth files Response to Request for Discovery
06/27/2013		Continued to 7/29/2013 by agreement for filing of motions and lobby
06/27/2013		

		conference and continued to 8/19/2013 for hearing re: motions.
06/27/2013		(cancel 8/19/13 FPTC) Locke, RAJ - A. Kaczmarak, AAG - ERD - A.
06/27/2013		Gordon, Atty.
06/27/2013		Bristol County (BRCR13-00009) , Essex County (ESCR12-01467) ,
06/27/2013		Middlesex County (MICR12-01634), Norfolk County (NOCR12-1086) and
06/27/2013		PLymouth County (PLCR 12-00650) Indictments consolidated with Suffolk
06/27/2013		County case SUCR2012-11155 (offenses #016 through #027)
07/15/2013		MOTION (P#20) denied. Roach, J
07/15/2013	24	Memorandum of Decision and Order on Defendant's Consolidated Motion
07/15/2013	24	to Dismiss
07/26/2013		Defendant not present.
07/26/2013	25	Commonwealth files Motion to Continue.
07/26/2013		MOTION (P#25) allowed as endorsed.
07/26/2013		Cancel 7/29/13 Event and Cancel 8/19/13 Event
07/26/2013		Case continued to 8/16/2013 by agreement re:Status and Lobby Roach, J
07/26/2013		- A. Kaczmarek, AAG
08/16/2013		Defendant came into court
08/16/2013	26	Defendant's MOTION to suppress statements, affidavit in support of
08/16/2013	26	and memorandum of law, filed.
08/16/2013	27	JOINT motion to continue, filed.
08/16/2013		MOTION (P#27) allowed. Roach, J (Rule 36 waived) Cancel 9/9/13 trial
08/16/2013		date. New dates: 12/30/13 FPTC and 1/6/14 PTD in the 3rd Criminal
08/16/2013		Session (Ctrm 808)
08/16/2013		Continued to 10/11/2013 by agreement for lobby conference in the 1st
08/16/2013		Criminal Session (Ctrm 704) and continued 10/30/13 for hearing re:
08/16/2013		motion to suppress in the 9th Criminal Session (Ctrm 713) Roach, J -
08/16/2013		A. Kaczmarek, AAG - ERD - N. Gordon, Atty
10/07/2013		Defendant not present, (cancel 10/11/13 event) Case continued until
10/07/2013		10/18/2013 by agreement for lobby conference at 12:00 PM. Ball, J -
10/07/2013		A. Kaczmarek, AAG
10/08/2013	28	ORDER Regarding Plea Conference, filed. Ball, J
10/17/2013	29	Commonwealth files: sentencing memorandum
10/18/2013		Defendant came into court. Lobby Conference Held.
10/18/2013	30	Deft files motion to conduct Plea Conference in Chambers or at
10/18/2013	30	Sidebar.
10/18/2013		MOTION (P#30) denied
10/18/2013	31	Deft files Memorandum in Support of her Sentencing Memorandum.
10/18/2013	32	Deft files motion to file Under Seal.
10/18/2013		MOTION (P#32) denied
10/18/2013	33	Commonwealth files fifth notice of discovery. Ball, J. - A.
10/18/2013	33	Kaczmarek, AAG - ERD/LB - N. Gordon, Attorney
10/23/2013	34	Sentencing Decision Re-Proposed Guilty Plea, filed. (Ball, J.).
10/23/2013		

	34	(Notice sent 10/23/12 & Copy Enclosed).
10/28/2013		Defendant not present, hearing continued until 11/22/2013 re: Change
10/28/2013		of Plea. Ball, J. - A. Kaczmarek, AAG
11/22/2013		Defendant came into court.
11/22/2013		Defendant offers to plead guilty. After hearing, Court accepts
11/22/2013		defendants offer. Defendant pleads guilty to each offense as charged.
11/22/2013		RE Offense 1:Guilty plea
11/22/2013		RE Offense 2:Guilty plea
11/22/2013		RE Offense 3:Guilty plea
11/22/2013		RE Offense 4:Guilty plea
11/22/2013		RE Offense 5:Guilty plea
11/22/2013		RE Offense 6:Guilty plea
11/22/2013		RE Offense 7:Guilty plea
11/22/2013		RE Offense 8:Guilty plea
11/22/2013		RE Offense 9:Guilty plea
11/22/2013		RE Offense 10:Guilty plea
11/22/2013		RE Offense 11:Guilty plea
11/22/2013		RE Offense 12:Guilty plea
11/22/2013		RE Offense 13:Guilty plea
11/22/2013		RE Offense 14:Guilty plea
11/22/2013		RE Offense 15:Guilty plea
11/22/2013		RE Offense 16:Guilty plea
11/22/2013		RE Offense 17:Guilty plea
11/22/2013		RE Offense 18:Guilty plea
11/22/2013		RE Offense 19:Guilty plea
11/22/2013		RE Offense 20:Guilty plea
11/22/2013		RE Offense 21:Guilty plea
11/22/2013		RE Offense 22:Guilty plea
11/22/2013		RE Offense 23:Guilty plea
11/22/2013		RE Offense 24:Guilty plea
11/22/2013		RE Offense 25:Guilty plea
11/22/2013		RE Offense 26:Guilty plea
11/22/2013		RE Offense 27:Guilty plea
11/22/2013		Defendant warned per Chapter 278, Sec 29D of alien status
11/22/2013		Padilla warning read - US Supreme Ct (2010).
11/22/2013		Defendant warned per Chapter 22E Sec. 3 of DNA
11/22/2013	35	Waiver of defendants' rights. Commonwealth moves for sentencing.
11/22/2013		Defendant sentenced to as to #006: MCI Cedar Junction - Max: Five (5)
11/22/2013		years - Min: Three (3) years. Said sentence to be served at MCI
11/22/2013		FRAMINGHAM. Mittimus issued.
11/22/2013		Defendant sentenced to as to #001-#005 and #007-#013: MCI Cedar
11/22/2013		Junction - Max: Five (5) years - Min: Three (3) years each concurrent
11/22/2013		

	with sentence imposed on Offense #006 to be served at MCI FRAMINGHAM.
11/22/2013	Mittimus issued.
11/22/2013	Defendant sentenced to as to #014-027: TOTAL Term of Probation - Two
11/22/2013	(2) years to begin FROM and AFTER release from MCI Framingham.
11/22/2013	Defendant is subject to the following probation conditions: (1).
11/22/2013	Mental Health Evaluation and Treatment if deemed neccessary. Provide
11/22/2013	Probation Dept with Mental Health Reports and Updates. (2) Must
11/22/2013	present true qualifications to future employers. *UNSUPERVISED WHILE
11/22/2013	ON PAROLE ONLY.
11/22/2013	Sentence credit given as per 279:33A: 1 day.
11/22/2013	Victim-witness fee assessed: \$90.00 to be paid during probationary
11/22/2013	term.
11/22/2013	Probation supervision fee imposed. Ball, J. - A. Kaczmarek, AAG -
11/22/2013	JAVS - N. Gordon, Attorney

---

## Charges

---

27 Charges for Docket: SUCR2012-11155

<b>No.</b>	<b>Charge Description:</b>	<b>Indictment:</b>	<b>Status:</b>
1	PERJURY c268 s1		Guilty plea
2	INTIMIDATION OF WITNESS c268 s13B		Guilty plea
3	INTIMIDATION OF WITNESS c268 s13B		Guilty plea
4	INTIMIDATION OF WITNESS c268 s13B		Guilty plea
5	INTIMIDATION OF WITNESS c268 s13B		Guilty plea
6	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
7	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
8	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
9	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
10	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
11	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
12	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE IN PROC		Guilty plea
13	TAMPERING WITH RECORD,DOCUMENT OR OTHER OBJ FOR OFFICIAL USE		Guilty

	IN PROC	plea
14	DEGREE, FALSE CLAIM TO HOLD SCHOOL c266 s89	Guilty plea
15	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
16	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
17	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
18	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
19	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
20	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
21	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
22	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
23	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
24	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
25	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
26	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea
27	MISLEADING THE GRAND JURY, PROSECUTOR, JUDGE ETC	Guilty plea

**INDICTMENT**

**SUCR2012- 11155-001**

**Perjury**

**c. 268, § 1**

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

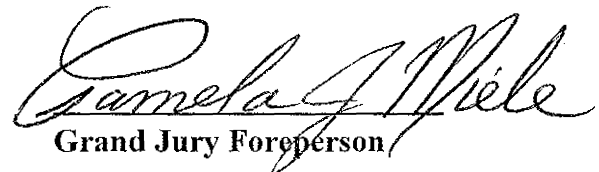
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on August 17, 2010, in Commonwealth v. Larry Blue, Annie Dookhan did willfully make a false statement under oath in a judicial proceeding, in a proceeding in a course of justice, or when required by law to take an oath or affirmation to tell the truth, knowing the statement was false at the time she made the statement and that statement was material to the issue or point in question in violation of c. 268, § 1.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

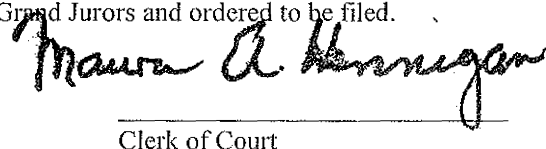
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-002

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on May 18, 2009, in the jury trial of Commonwealth v. Carlos Pineda (SUCR2008-10589), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

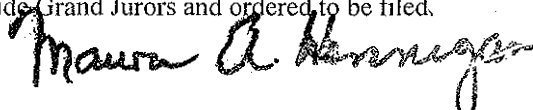
A True Bill

  
Grand Jury Foreperson

Superior Court Department Criminal Business

December Sitting, 2012

DEC 17 2012  
Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.



Clerk of Court



INDICTMENT  
SUCR2012- 11155-003

Obstruction of Justice  
c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that


**ANNIE DOOKHAN**

At Chelsea, in the County of Suffolk, on October 30, 2009, in the jury trial of Commonwealth v. Brad Flowers (0814CR3454), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

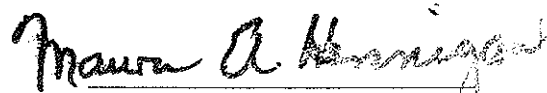
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

DEC 17 2012

December Sitting, 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-004

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

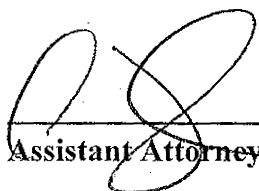
At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on August 17, 2010, in the jury trial of Commonwealth v. Larry Blue (SUCR2009-10198), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

**INDICTMENT**

SUCR2012- 11153-005

**Obstruction of Justice**

c. 268, § 13B

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

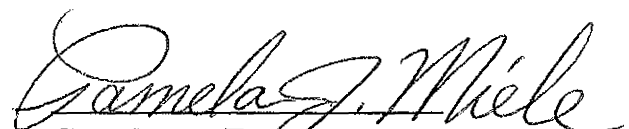
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on July 1, 2011, in the case of Commonwealth v. Jeffrey Banks, Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or do so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

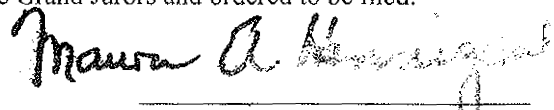
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

**INDICTMENT**

**SUCR2012- 11155- 006**

**Tampering with Evidence**

**c. 268, § 13E**

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

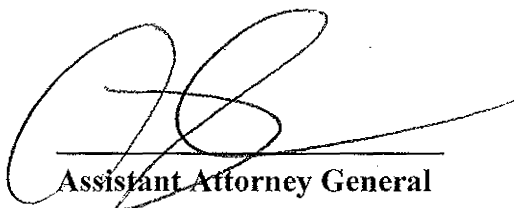
**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

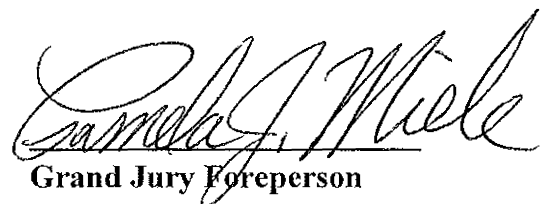
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about November 22, 2010, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B10-09283), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

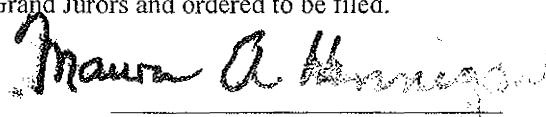
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Maureen A. Hennigan

**INDICTMENT**

**SUCR2012- 11155-007**

**Tampering with Evidence**

**c. 268, § 13E**

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.


**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

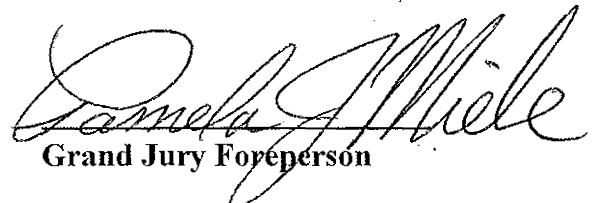
At Boston, in the County of Suffolk, on or about December 6, 2010, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B10-13145), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill



**Assistant Attorney General**



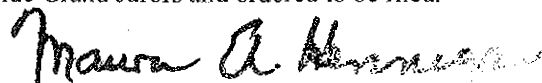
**Grand Jury Foreperson**

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.



**Clerk of Court**

INDICTMENT

SUCR2012- 11155-008

Tampering with Evidence

c. 268, § 13E

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

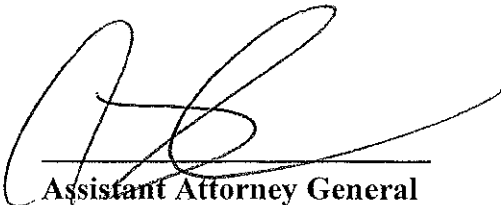
**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

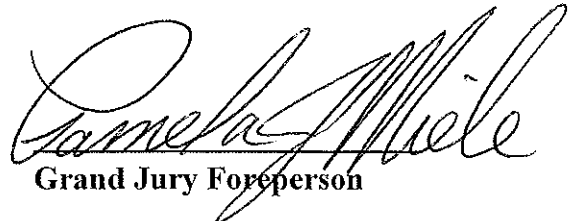
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about December 8, 2010, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B10-10485), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

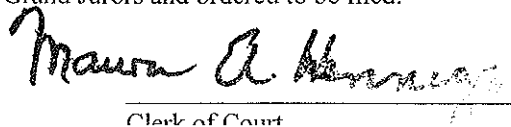
  
Assistant Attorney General

  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012 Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-009

Tampering with Evidence

c. 268, § 13E

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

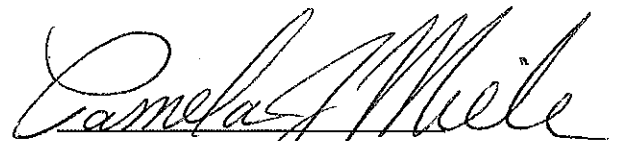
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about January 19, 2011, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B10-11884), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-010

Tampering with Evidence

c. 268, § 13E

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

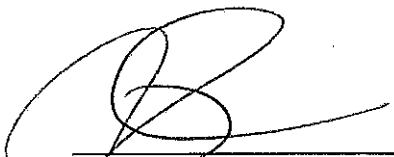
**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

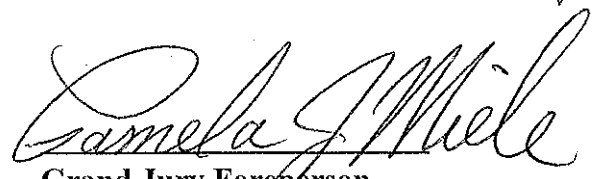
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about March 7, 2011, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B10-14541 & B10-14542), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court



**INDICTMENT**

**SUCR2012- 11155 -011**

**Tampering with Evidence**

**c. 268, § 13E**

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

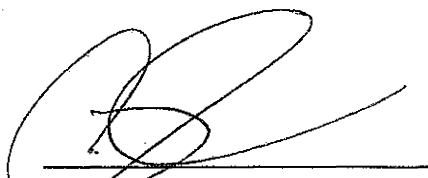
**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

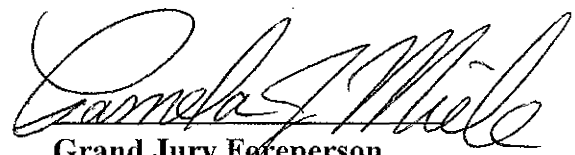
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about May 14, 2011, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: Discovery Packet for sample number B10-50966), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.



**INDICTMENT**

**SUCR2012- 11155-012**

**Tampering with Evidence**

**c. 268, § 13E**

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.


**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

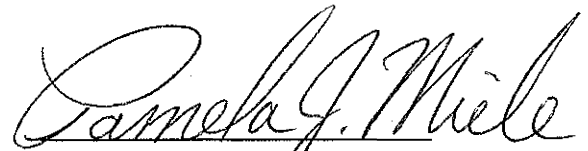
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about May 19, 2011, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: sample number B11-04712), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

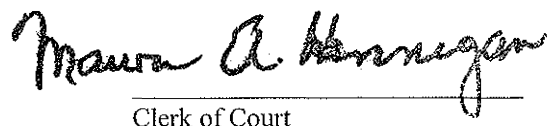
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-013

Tampering with Evidence

c. 268, § 13E

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.


**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

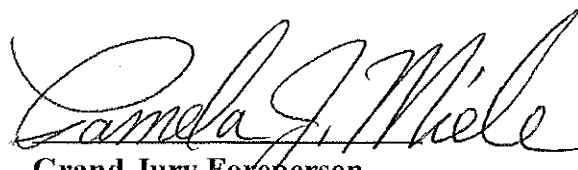
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on or about June 17, 2011, Annie Dookhan did alter, destroy, manipulate, or conceal a record, document, or other object (to wit: evidence log book), or attempt to do so with the intent to impair the record, document or object's integrity or availability for use in an official proceeding, whether or not the proceeding was pending at that time in violation of c. 268, § 13E.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A True Bill

  
Assistant Attorney General

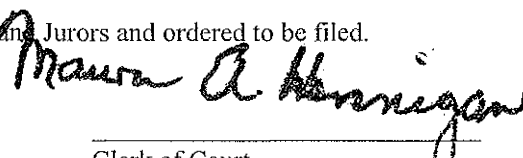
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012- 11155-014

False Claim to Hold Degree  
c. 266, § 89

*Commonwealth of Massachusetts*

---

SUFFOLK, ss.


At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

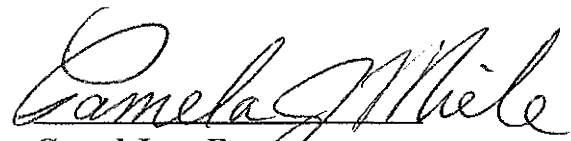
**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on divers dates between May 18, 2009 to January 24, 2012, Annie Dookhan did, in writing, knowingly and falsely pretend to be a graduate or to hold any degree, of a college or other educational institution of this Commonwealth (to wit: UMass Boston) in violation of c. 266, § 89.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

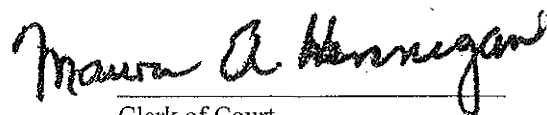
  
Grand Jury Foreperson

Superior Court Department, Criminal Business

DEC 17 2012

December Sitting, 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

**INDICTMENT****SUCR2012-**

11155-015

**Obstruction of Justice****c. 268, § 13B***Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Boston, in the County of Suffolk, on June 27, 2011, in the case of Commonwealth v. Paul Reeves, Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

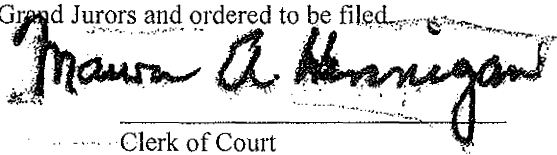
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

~~SUCR2012-11155-#016~~

~~BRER2013-00009~~

Obstruction of Justice  
c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

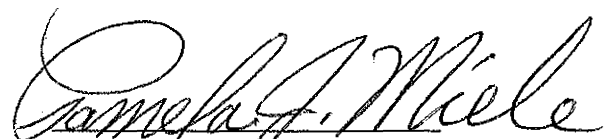
**ANNIE DOOKHAN**

At Fall River, in the County of Bristol, on January 9, 2012, in the jury-waived trial of Commonwealth v. Robert Annunziata (BRER2010-00760), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

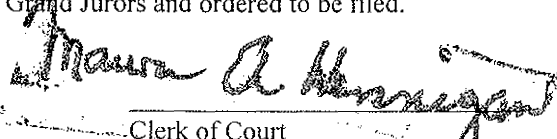
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

SUCR2012-11155-#017  
INDICTMENT  
SUCR2012- 1467-001

Obstruction of Justice  
c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

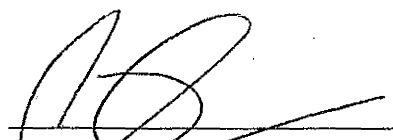
At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

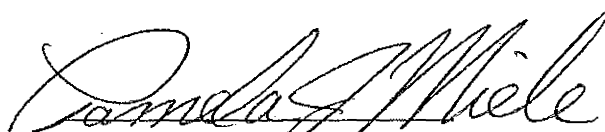
**ANNIE DOOKHAN**

At Lawrence, in the County of Essex, on March 30, 2010, in the jury trial of Commonwealth v. Raymond Garcia (ESCR2007-00647), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

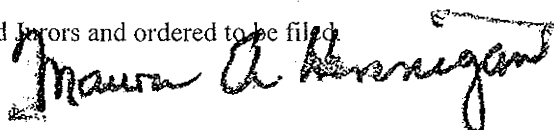
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed



Clerk of Court

INDICTMENT

SUCR2012- 11155- # 018

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that


**ANNIE DOOKHAN**

At Woburn, in the County of Middlesex, on May 4, 2010, in the jury trial of Commonwealth v. Jean Pierre (MICR2009-00610), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

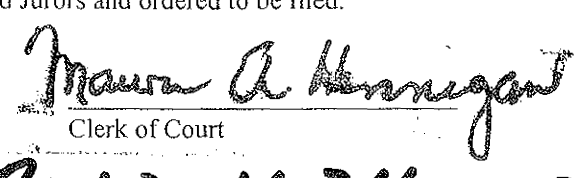
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

ORIGINAL



INDICTMENT

SUCR2012-11155-#019

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Woburn, in the County of Middlesex, on August 18, 2010, in the case of Commonwealth v. Geronimo Alomar (MICR2008-01412), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

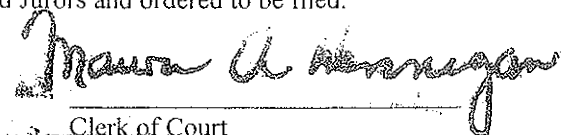
A True Bill

  
Grand Jury Foreperson

Superior Court Department, Criminal Business

December Sitting, 2012

DEC 17 2012  
Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

2012-1634-002

INDICTMENT

SUCR2012- 11155-# 020

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that


**ANNIE DOOKHAN**

At Malden, in the County of Middlesex, on November 8, 2010, in the jury trial of Commonwealth v. Harold Pierre (0950CR1850), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

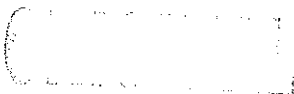
  
Grand Jury Foreperson

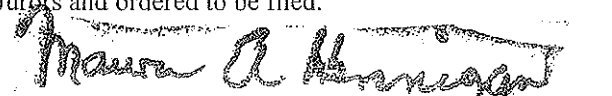
Superior Court Department - Criminal Business

DEC 17 2012

December Sitting, 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.



  
Clerk of Court  
2012-1634-001

*SUR 2012-1155-021*

INDICTMENT

~~NOCR2012-1086-001~~

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

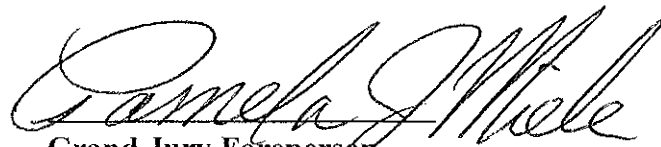
**ANNIE DOOKHAN**

At Dedham, in the County of Norfolk, on February 25, 2011, in the jury-waived trial of Commonwealth v. Isa Fernandes (NOCR2009-00852), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

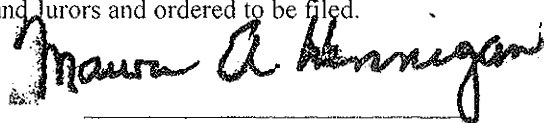
  
Grand Jury Foreperson

Superior Court Department, Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

*SMR 2012-11155-#022*  
INDICTMENT  
~~NO CR 2012-1086-002~~

Obstruction of Justice  
c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

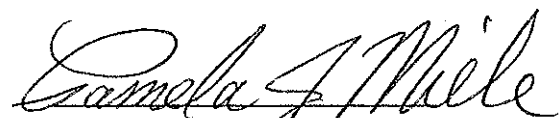
**ANNIE DOOKHAN**

At Dedham, in the County of Norfolk, on or about May 14, 2011, in the case of Commonwealth v. Amanda Burke and James Lane, Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

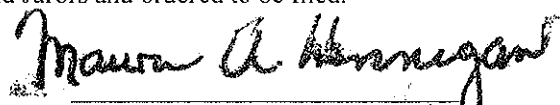
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

**DEC 17 2012**

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court

INDICTMENT

SUCR2012-11155-#023

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Brockton, in the County of Plymouth, on August 10, 2009, in the jury trial of Commonwealth v. Craig Charlton (PLCR2007-00350), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

ATTEST  
*Robert J. [Signature]*  
Clerk of Courts

*[Signature]*  
Assistant Attorney General

A True Bill

*Camela J. Miele*  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

*Maura A. Hennigan*  
Clerk of Court

## INDICTMENT

SUCR2012- 11155- #024

## Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.


**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

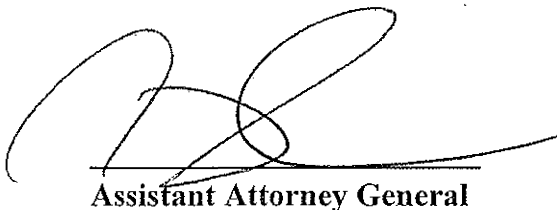
At Brockton, in the County of Plymouth, on February 23, 2011, in the jury trial of Commonwealth v. Rony Neves (1015CR003057), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A TRUE COPY ATTEST

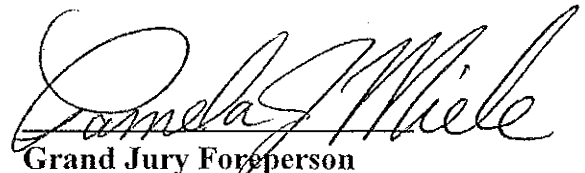


Clerk of Courts



Assistant Attorney General

A True Bill



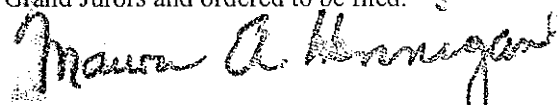
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.



## INDICTMENT

SUCR2012-11155-#025

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

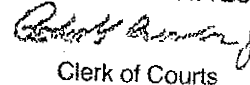
**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

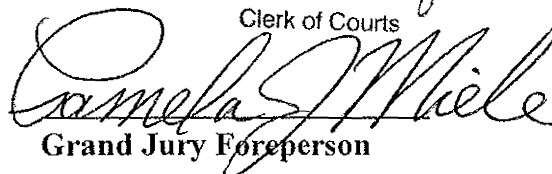
At Brockton, in the County of Plymouth, on August 13, 2009, in the jury trial of Commonwealth v. Donta Hood (PLCR2009-00022), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A TRUE COPY ATTEST

  
 Clerk of Courts

A True Bill

  
 Grand Jury Foreperson

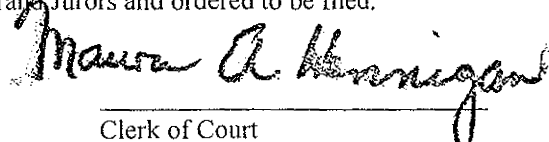
  
 Assistant Attorney General

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
 Clerk of Court

## INDICTMENT

SUCR2012- 11155- #026

## Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

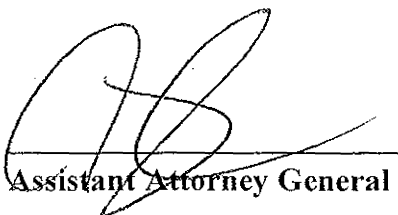
At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

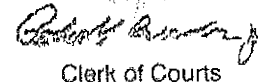
At Brockton, in the County of Plymouth, on October 22, 2010, in the jury waived trial of Commonwealth v. Leo McLaughlin III (PLCR2009-00481), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

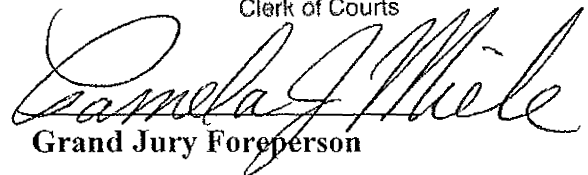
Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

  
Assistant Attorney General

A True Bill

A TRUE COPY ATTEST

  
Clerk of Courts

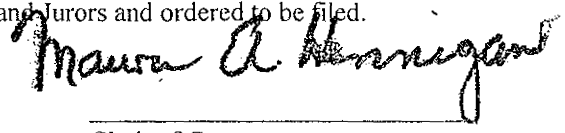
  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

  
Clerk of Court



INDICTMENT

SUCR2012- 11155- #027

Obstruction of Justice

c. 268, § 13B

*Commonwealth of Massachusetts*

SUFFOLK, ss.

At the **SUPERIOR COURT**, begun and holden at the **CITY OF BOSTON**, within and for the County of SUFFOLK on the first Monday of December in the year of our Lord two thousand and twelve.

**THE STATEWIDE JURORS** for the **COMMONWEALTH OF MASSACHUSETTS** on their oath present that

**ANNIE DOOKHAN**

At Brockton, in the County of Plymouth, on December 6, 2010, in the jury trial of Commonwealth v. Rony Neves (1015CR001433), Annie Dookhan did directly or indirectly, willfully threaten, or attempt to cause physical injury, emotional injury, economic injury or property damage to; and/or misled, intimidated or harassed a witness or potential witness at any stage of a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; a person who was aware of information, records, documents or objects that relate to a violation of a criminal statute; a person who was furthering a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any time; and/or a person who was attending or had made known her intention to attend a grand jury proceeding, trial or other criminal proceeding of any type with the intent to impeded, obstruct, delay, harm, punish, or otherwise interfere thereby, or did so with reckless disregard, with a criminal investigation, grand jury proceeding, trial or other criminal proceeding of any type in violation of c. 268, § 13B.

Against the peace of the Commonwealth aforesaid, and contrary to the form of the statute in such case made and provided.

A TRUE COPY ATTEST

*Robert A. Berman*  
Clerk of Courts

A True Bill

*[Signature]*  
Assistant Attorney General

*Camela J. Miele*  
Grand Jury Foreperson

Superior Court Department - Criminal Business

December Sitting, 2012

DEC 17 2012

Returned into said Superior Court by the Statewide Grand Jurors and ordered to be filed.

*Maura A. Harrigan*  
Clerk of Court

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, SS.

SUPERIOR COURT DEPARTMENT

NO. SUCR 2012-10863

11155

**COMMONWEALTH**

**VS.**

**ANNIE DOOKHAN**

---

**COMMONWEALTH'S STATEMENT OF THE CASE**

---

Now comes the Commonwealth and offers the following statement of facts. This statement does not constitute a bill of particulars, nor does it recite all the facts known to the Commonwealth, rather it is a summary of the facts.

The defendant, Annie Dookhan, was employed as a chemist in the drug analysis unit of the Hinton State Lab in Jamaica Plain, which tested drug evidence submitted by law enforcement across the state. The defendant was hired as a Chemist I in 2003, promoted to Chemist II in 2005, and resigned in March of 2012. In her capacity as a chemist, Dookhan would analyze drug evidence and at times testify in court as to her findings.

Until June of 2011, her work product was consistently the highest in the lab among her co-workers. In June a problem was discovered with the defendant's work. An evidence officer was in the process of scanning some drug samples back into the drug safe, when she discovered 90 samples of drugs had not been properly scanned out of the drug safe and that there was no

FILED

DEC 20 2012

chemist assigned to the sample. Dookhan's name appeared on the control card as the primary chemist but in the evidence log book there were no initials of an evidence officer signing out the drug samples to her. On June 20, three of the defendant's supervisors met to discuss the problem and observed that there were no evidence officer initials in the log book for those 90 samples.

The next day, when Dookhan was confronted with the log book, the initials of Gloria Philips had suddenly appeared in the book. Dookhan denied knowledge of the discrepancies with the log book. She claimed to not remember how the samples got into her possession in the first place. Dookhan later confessed to investigators that she had written in Gloria Phillips' initials. During the investigation, it was determined that Dookhan did not follow proper protocol for signing out drug samples from the evidence room, and further tampered with evidence by forging the initials of an evidence officer to cover-up her misconduct.

In July of 2012, in accordance with legislation, control of the drug lab was transferred from Department of Public Health to Executive Office of Public Safety and Security. As a result of this transfer, a more extensive investigation into Dookhan's practices was initiated by the State Police. Massachusetts State Police investigators interviewed all the employees of the lab and questioned them about defendant's lab practices. The defendant was interviewed by investigators on August 28, 2012 and she admitted to "dry labbing" some of the samples. "Dry labbing" is the term used for the practice of merely visually identifying samples

instead of performing the required chemical test. It was discovered that Dookhan would assemble multiple drug samples from different cases that appeared to be the same substance. She would then perform the chemical tests on a few of the samples to verify that the samples were in fact the drug she believed they were, and if those were positive, would assume all the samples were positive without performing the necessary chemical tests.

Typically, a small amount of the drug sample is mixed into a vial by the primary chemist and then sent to a second testing stage to confirm the initial results. If the second test does not confirm the initial results, the vial is sent back to the primary chemist to concentrate and resubmit. When samples were sent back to Dookhan in this stage, she tampered with the vials before resubmitting them in order to make them consistent with the inaccurate and positive results reached as a result of her "dry labbing." Recent testing done on these samples by the Massachusetts State Police Crime Laboratory corroborates these allegations. Investigators were able to retest samples because Dookhan only altered the substances while they were in the testing vials. She did not alter the original samples.

The Commonwealth identified six specific instances where Dookhan tampered with the testing vials. Five of those cases originated in Suffolk County: Jeffrey Banks, Paul Flannelly, Stephen Goudreau, Paul Reeves, and Michael Vasquez. One case is from Bristol County: Eliezer Santiago. In the case of Jeffrey Banks, the drug certificate sworn by Dookhan that the substance was

cocaine was submitted to a Suffolk County grand jury. The grand jury relied on the drug analysis to indict Banks.

In a review of the defendant's work emails, investigators found a discovery packet that had been emailed to a prosecutor for a pending criminal case that contained an altered test. In that packet, Dookhan submitted a print out for a test designed to quantify the drug sample. In organizing the discovery information, the defendant realized that she had not printed out, or never ran, the quantifying analysis. To cover this mistake, the defendant ran the test using that the case sample number and submitted it with the discovery packet. The defendant obliterated the date the test was run. This particular machine has no capacity to save past analyses and the print date on the bottom of the document states May 5, 2011, nearly six months after the drug samples were returned to the submitting police agency. Again, the sample was not contaminated; in fact, it was no longer at the lab when this test was performed.

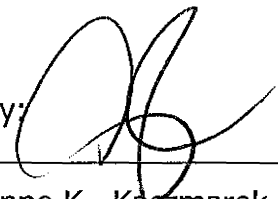
In fourteen separate criminal trials, the defendant testified as an expert witness regarding her job as a chemist in the drug lab. While under oath, she stated that she had a Master's degree in Chemistry from UMass Boston. This testimony was relied upon to establish a foundation for her credibility as an expert and the veracity of the drug certificate admitted into evidence. Further investigation revealed that she did not hold a Master's in Chemistry from the University of Massachusetts nor was she ever enrolled as a student in master's level classes.

The defendant also perjured herself during her testimony in the Suffolk County trial of Commonwealth v. Blue. In that case, Dookhan testified that she had a Master's in Chemistry and was in charge of quality control. A review of the questioning by the prosecuting and defense attorney, as well as their closing arguments, reveals that Dookhan's qualifications were a material fact in the trial.

Respectfully submitted

For the Commonwealth,

MARTHA COAKLEY  
ATTORNEY GENERAL

By: 

Anne K. Kaczmarek  
BBO# 644812  
Assistant Attorney General  
1 Ashburton Place  
Boston, MA 02108  
(617) 727-2200 x2677

December 20, 2012

COMMONWEALTH OF MASSACHUSETTS

2012-11155

SUFFOLK, ss

SUFFOLK SUPERIOR COURT

NORFOLK, ss

INDICTMENT NO: NOCR 2012-01086

BRISTOL, ss.

INDICTMENT NO. BRCR2013-00009

ESSEX, ss.

INDICTMENT NO. ESCR2012-01467

MIDDLESEX, ss.

INDICTMENT NO. MICR 2012-01634

PLYMOUTH, ss.

INDICTMENT NO. PLCR 2012-00650

COMMONWEALTH

v.

ANNIE DOOKHAN

**MEMORANDUM OF LAW IN OPPOSITION TO DEFENDANT'S MOTION TO DISMISS**

Now comes the Commonwealth in the above-entitled matter and respectfully moves this Honorable Court to deny the Defendant's Motion to Dismiss the eleven indictments alleging violations of G.L. c. 268, § 13B, during her testimony in the criminal trials of Commonwealth v. Raymond Garcia (ESCR2007-00647), Commonwealth v. Rony Neves (1015CR001433), Commonwealth v. Leo McLaughlin III (PLCR2009-00481), Commonwealth v. Craig Charlton (PLCR2007-00350), Commonwealth v. Rony Neves (1015CR003057), Commonwealth v. Donta Hood (PLCR2009-00022), Commonwealth v. Robert Annuziata (BICR2010-00760), Commonwealth v Isa Fernandes (NOCR2009-00852), Commonwealth v Geromino Alomar (MICR2008-01412), Commonwealth v Harold Pierre (0905CR1850), and Commonwealth v Jean Pierre (MICR2009-00610). Where the evidence presented to the Statewide grand jury shows that the Defendant misled the factfinder by willfully misrepresenting her credentials to them. The Defendant's motion has no merit, and must fail.

## SPECIFIC COUNTY CLAIMS

The Defendant challenges indictments arising from several different counties. The Defendant's arguments are based upon the same facts and legal analyses. As a result, the Commonwealth filed a motion to consolidate all the pre-trial motions for a single justice to decide and the motion was allowed by Chief Justice Rouse on May 9, 2013. The Defendant was charged in six different counties for Obstruction of Justice based on her testimony at criminal trials where she embellished her qualifications as an expert witness. The specific indictments challenged by the Defendant are:

1. In Middlesex County, the Defendant was indicted on three counts for testifying at the following trials: Commonwealth v Geromino Alomar (MICR2008-01412); Commonwealth v Harold Pierre (0905CR1850); and Commonwealth v Jean Pierre (MICR2009-00610);
2. In Essex County, the Defendant was indicted on one count for testifying at the following trial: Commonwealth v. Raymond Garcia (ESCR2007-00647);
3. In Plymouth County, the Defendant was indicted on five counts for testifying at the following trials: Commonwealth v. Rony Neves (1015CR001433); Commonwealth v. Leo McLaughlin III (PLCR2009-00481); Commonwealth v. Craig Charlton (PLCR2007-00350); Commonwealth v. Rony Neves (1015CR003057); and Commonwealth v. Donta Hood (PLCR2009-00022).
4. In Bristol County, the Defendant was indicted on one count for testifying at the following trial: Commonwealth v. Robert Annuziata (BICR2010-00760); and
5. In Norfolk County, the Defendant was indicted on one count for testifying at the following trial: Commonwealth v Isa Fernandes (NOCR2009-00852).



As this memorandum demonstrates, these claims are without merit; consequently, the Commonwealth asks this Honorable Court to deny each of the defendants' motions.

### **FACTS PRESENTED TO THE GRAND JURY**

The investigation into the Defendant's activities began in August of 2012 as a result of allegations that the Defendant had tampered with the results of drug evidence at the Hinton Drug Lab in Jamaica Plain. The Statewide Grand Jurors indicted the Defendant on eight counts of Tampering with Evidence (Ch. 268 §13E), one count of Perjury (Ch. 268 §1), one count of False Claim to Hold a Degree (Ch. 266 §89), and seventeen counts of Obstruction of Justice (Ch. 268 §13B).

The evidence presented to the Statewide Grand Jurors showed that the Defendant did not have a Master's in Chemistry, nor had she even been accepted into the Master's program, at UMass Boston. (See Exhibit A: GJ Minutes dated October 11, 2012, page 32, lines 9-14). The Defendant used two different resumes, one that stated she had a Master's and a second that did not include this fact. Id. at pages 32-33. The evidence presented to the grand jurors showed that the Defendant sent her resume to a prosecutor and it included the Master's designation while providing her lab supervisor with her actual credentials- all within six days of each other. Id.

On October 25, 2012 and November 29, 2012, the grand jurors were presented with a total of fifteen transcripts of court proceedings where the Defendant testified under oath that she had a Master's in Chemistry. See Exhibits B and C: GJ Minutes dated October 25, 2012 and November 29, 2012. On those two days of testimony, the fifteen transcripts were introduced as evidence. Id. The Grand Jurors were presented with evidence that the Defendant testified in court at a jury trial that she had a Master's degree in Chemistry when, in truth, she had no such degree. Id.

On October 25, 2012, the Grand Jurors were presented with evidence that relates to the Defendant's testimony at the following trials which led to the challenged indictments: Commonwealth vs. Raymond Garcia, Commonwealth vs. Robert Annunziata, Commonwealth vs. Donta Hood, and Commonwealth vs. Isa Fernandes, and Commonwealth vs. Harold Pierre. See Exhibit B. According to the transcripts introduced into evidence, the Defendant, under oath, is asked about her educational background. In each of the enumerated transcripts, the Defendant answers that she has a Master's in Chemistry. Id.

On November 29, 2012, the Grand Jurors were presented with evidence that relates to the Defendant's testimony at the following trials which led to the challenged indictments: Commonwealth v. Rony Neves, Commonwealth v. Leo McLaughlin III, Commonwealth v. Craig Charlton, Commonwealth v. Rony Neves, Commonwealth v Geromino Alomar, and Commonwealth v. Jean Pierre. See Exhibit C. According to the transcripts introduced into evidence, the Defendant, under oath, is asked about her educational background. In each of the enumerated transcripts, the Defendant answers that she has a Master's in Chemistry. Id.

On November 29, 2012, the grand jury witness, Detective Lt. Robert Irwin, read a portion of the trial transcript from Commonwealth v. Carlos Pineda into the record. Exhibit C at page 15.

Q: Approximately how many times have you had an occasion to test for a control substance?

A: Several.

Q: Okay. I know it's hard to ballpark but would you say more than a hundred?

A: Probably.

Q: Okay. Do you think it is more than a few hundred times?

A: Probably.

Id. at page 15, lines 11-19.

The grand jury also heard on the same date testimony from another submitted transcript from the trial of Commonwealth v. Craig Charlton on the same date.

Q: What is your educational background, ma'am?  
A: I have a master's in biochemistry and chemistry.  
Q: Where did you receive those degrees?  
A: University of Massachusetts.  
Q: And in all the years that you've been employed as a chemist with the State Lab, could you estimate perhaps how many times you have tested an unknown substance for its chemical composition?  
A: Thousands.  
Q: Thousands. How many samples do you usually test in a given week say?  
A: A hundred.  
Q: A hundred a week?  
A: Yeah.  
Exhibit C: page 9-10.

Also presented on November 29, 2012 was the trial transcript of Commonwealth v. Blue. Id. at page 16. The Defendant's direct and cross examination was read into the record, as well as relevant portions of the closing statements from both the prosecutor and defense counsel. Id. The defense counsel argued to the jury that the Dookhan's testimony was only her personal opinion and that the test was a "subjective analysis". Id. at page 19, line 6. The prosecutor countered in his closing that "there was no doubt about whether those items are cocaine." Id. at line 12-13. The prosecutor's argument also included a reference to the Defendant's qualifications, in conformity with the Defendant's testimony on direct examination. Id.

### LEGAL STANDARD

Generally, courts will not inquire into grand jury proceedings absent a showing of "extraordinary circumstances." Commonwealth v. Matthews, 450 Mass. 852, 873 (2008), citing Commonwealth v. Freeman, 407 Mass. 279, 282 (1990). As such, the Supreme Judicial Court has identified only two such extraordinary circumstances where judicial inquiry is warranted: "(1) when it is unclear that sufficient evidence was presented to the grand jury to support a finding of probable cause to believe that the Defendant committed the offense charged in the

indictment; and (2) when the Defendant contends that the integrity of the grand jury proceedings somehow has been impaired.” Freeman, 407 Mass. at 282. The Defendant’s challenge is based on the adequacy of the evidence presented to the grand jury.

## **ARGUMENT**

### **I. The Commonwealth presented sufficient evidence from which the grand jury could infer the Defendant “willfully” interfered with criminal proceedings.**

G.L. c. 268 § 13B prohibits the willful misleading of jurors in a criminal proceeding. The Defendant contends that “(w)illfulness requires a showing that the defendant intended both the conduct and its harmful consequences” Commonwealth v. Schuchardt, 408 Mass. 347, 352 (1990). In the present case, the Defendant willfully testified that she had a Master’s degree in chemistry when she had no such degree. The grand jurors were presented with a total of fifteen transcripts where the Defendant, under oath, made this claim. From the record of her academic transcript admitted into evidence, it is clear that the Defendant did not have a Master’s in Chemistry. Other evidence presented proved that she proactively maintained the fabrication. The Defendant was sent an email from her lab supervisor requesting an updated resume. In the response she sent back to her supervisor, there was no mention of a Master’s degree. Six days later, at the request of a prosecutor, the Defendant sent the prosecutor a resume indicating that she had a Master’s in Chemistry from the University of Massachusetts.

Under the statute, the analysis then shifts to the consequences of her actions. By embellishing her qualifications to prosecutors, defense attorneys, judges, and jurors, the Defendant was bolstering her credibility as a witness. Presented to the jurors as an expert witness in drug analysis, such misrepresentation does great harm to the fact-finding process. The grand jurors heard testimony of the Defendant’s conscious action of falsely stating that she had a

Master's degree. The grand jury could infer based on all of the transcripts introduced, and specific testimony highlighted, that the Defendant intended to mislead the prosecutors, defense counsel, judge, and jury about her qualifications and intended the consequences. Appearing more qualified or educated before the court was the direct result of her fabrications regarding her education and achievements, and this in turn, improperly bolstered her credibility as a chemist.

The Defendant's intention to fabricate her academic background and qualifications is further highlighted by her testimony in the Pineda trial when compared to her testimony in the Charlton trial. The grand jurors heard the drastic change in the Defendant's testimony regarding how many samples she had tested. In May of 2009 she testified she had only tested "hundreds" of samples. In her August 2009 testimony, the Defendant testified she had tested "thousands" of samples. She went on to testify in August that she tested approximately a hundred samples a week. This example of the Defendant's shifting testimony clearly highlights the Defendant's intentional misrepresentations regarding her qualifications as an expert witness. The grand jurors were presented with ample evidence to make this inference, and find probable cause that the Defendant willfully misled the jurors.

**II. The Commonwealth presented sufficient evidence from which the grand jury could infer the Defendant's specific intent to mislead jurors.**

The Supreme Judicial Court has officially adopted a definition of "mislead," as used in G.L. c. 268 § 13B, that mirrors the federal definition of "misleading conduct," as used in 18 U.S.C. § 1512(b). Commonwealth v. Figueroa, 464 Mass. 365, 371-73 (2013). That definition declares that "knowingly making a false statement" qualifies as misleading conduct. 18 U.S.C. § 1512(b). In Commonwealth v. Fortuna, the Appeals Court held that the defendant lied to police officers during their immediate investigation of the defendant's shooting was sufficient to show

the defendant's intent to mislead the officers. 80 Mass. App. Ct. 45, 50-51, review denied, 460 Mass. 1114 (2011).

Importantly, the Defendant does not contest that she knew, at the time of her testimony, that she did not possess the educational qualifications that she claimed she had during her testimony before the fact finders in the above-referenced trials. Furthermore, the Commonwealth submitted extensive evidence to the grand jury showing that the Defendant falsely testified as to her educational credentials and that she did so knowingly. Such a showing is sufficient to establish the Defendant's specific intent to mislead the jurors as to her educational qualifications. The testimony in Commonwealth v. Blue showed the grand jurors how both the defense and the prosecution relied on the Defendant's misrepresentation about her qualifications in their arguments concerning the credibility of the drug analysis. Blue provides evidence for the grand jurors to infer the damage that the Defendant's fabrication could inflict on the fact-finding process in a criminal trial. Contrary to the Defendant's argument that there is no evidence showing that the Defendant had a specific intent to mislead the jurors, the jurors could find probable cause that the Defendant willfully mislead the fact finders in the above-referenced trials regarding her qualifications as an expert witness.

The Defendant's contention that there was no evidence that the Defendant "intended harmful consequences" from her actions is beside the point. Whether or not the Defendant herself would put the label of "harmful" on her actions, there is little doubt that she willfully testified falsely, and that this false testimony is per se harmful to the integrity of the judicial proceedings.

### **III. Misleading the fact finder as to the educational qualifications of an expert witness interferes with the criminal proceedings.**

“The jury’s function, vis-à-vis an expert witness, is to assess the soundness and credibility of his opinions....One factor in assessing the strength of expert testimony is the expert’s knowledge and experience. A jury may properly evaluate that knowledge and experience in deciding what weight to give the opinion when reaching a final decision.” Leibovich v. Antonellis, 410 Mass. 568, 573 (1991). “ ‘The crucial issue,’ in determining whether a witness is qualified to give an expert opinion, ‘is whether the witness has sufficient education, training, experience and familiarity with the subject matter of the testimony.’ ” McCarthy v. Quirk Nissan, Inc., 2009 Mass. App. Div. 159 (Dist. Ct. 2009)(quoting McLaughlin v. Selectmen of Amherst, 422 Mass. 359, 361–362 (1996))(citations omitted). In the above-referenced trials, the Defendant was called to testify about her examination of the controlled substances introduced at trial. The Defendant’s education and training directly affects the weight of her testimony regarding the accuracy of the testing, and the quality control procedures utilized during testing.

By lying to the fact finders about her educational credentials, the Defendant interfered with the fact finder’s ability to properly assess and weigh the credibility of the evidence she presented. The Defendant testified as an expert on chemistry. In Massachusetts, chemists are not required to submit to a preliminary finding of qualification by the trial judge. Campbell v. Cape & Islands Healthcare Services, Inc., 81 Mass. App. Ct. 252, 259-60, review denied, 462 Mass. 1102 (2012)(discussing the judge’s role as “gatekeeper” for the jury’s exposure to expert testimony). Such a policy implicitly indicates the Commonwealth’s general regard for people in the chemistry profession and indicates a certain level of respect that these professionals are afforded in the eyes of the court. This practice also leaves the finders of fact with the sole responsibility for considering the evidence presented through such witnesses in the context of all

the facts presented at trial. If the Defendant were merely a lay witness, perhaps one could conclude that her fabrication was not an intentional interference with the fact finding process. But given her status as an expert, the grand jury could find probable cause that the Defendant did indeed have the intent to interfere in the fact-finding process by improperly bolstering her testimony.

The Defendant's false statements regarding her level of education and, hence, her training and experience with the subject matter on which she was testifying, compounded an already implicit presumption as to the credibility and weight of her testimony. Such misrepresentation and distortion of the fact finding process in a criminal trial cannot in any way be said to be harmless. The fabrication of her education misled the finders of fact as to her qualifications and interfered with the jurors or judge in a bench trial the ability to properly assess "the soundness and credibility" of her opinions. 410 Mass. 568 at 573.

## CONCLUSION

The Defendant's presentation of false testimony was intentionally misleading to the jurors at the trials of Commonwealth v. Raymond Garcia, Commonwealth v. Rony Neves, Commonwealth v. Leo McLaughlin III, Commonwealth v. Craig Charlton, Commonwealth v. Rony Neves, Commonwealth v. Donta Hood, Commonwealth v. Robert Annuziata, Commonwealth v Isa Fernandes, Commonwealth v Geromino Alomar, Commonwealth v Harold Pierre, and Commonwealth v Jean Pierre. Misleading judge or jury, by definition, interferes with criminal proceedings. The intent to mislead the fact finder, then, indicates nothing less than an intent to interfere with criminal proceedings. By testifying that she had a Master's degree, the



Defendant has misled the fact finder by improperly bolstering her credibility, and therefore, improperly bolstering their perception of her as a witness.

The chemical analysis of any unlawful substance is at the heart of the criminal trial when a defendant is on trial for the possession or distribution of said substance, the Defendant's testimony is therefore material to the testing of the drugs. The Commonwealth presented sufficient evidence for the grand jurors to find probable cause that the Defendant willfully misled the petit jurors or judge in a bench trial during the criminal trials of Commonwealth v. Raymond Garcia, Commonwealth v. Rony Neves, Commonwealth v. Leo McLaughlin III, Commonwealth v. Craig Charlton, Commonwealth v. Rony Neves, Commonwealth v. Donta Hood, Commonwealth v. Robert Annuziata, Commonwealth v Isa Fernandes, Commonwealth v Geromino Alomar, Commonwealth v Harold Pierre, and Commonwealth v Jean Pierre with the requisite intent to interfere with the proceedings. As reasons set forth, the Commonwealth asks this Honorable Court to deny the Defendant's Motion to Dismiss.

Respectfully Submitted  
For the Commonwealth,

MARTHA COAKLEY  
ATTORNEY GENERAL

By: 

Anne K. Kaczmarek  
Assistant Attorney General  
Enterprise & Major Crimes Division  
One Ashburton Place  
Boston, MA 02108  
617-963-2677  
BBO# 644812

May 31, 2013

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT DEPARTMENT  
INDICTMENT NO: 2012-11155

COMMONWEALTH

v.

ANNIE DOOKHAN

---

COMMONWEALTH'S SENTENCING MEMORANDUM

---

Now comes the Commonwealth in the above-captioned matter and respectfully provides this Honorable Court with the instant sentencing memorandum in order both to explain the Commonwealth's sentencing recommendation and to aid the Court in sentencing the defendant.

**Commonwealth's Recommendation**

The Commonwealth contends that the defendant's actions that are the subject of the above indictments warrant substantial incarceration in State Prison. For eight counts of Tampering with Evidence, one count of Perjury, one count of Falsely Claiming to Hold a Degree, and seventeen counts of Obstruction of Justice, the Commonwealth recommends that the defendant be sentenced to 5-7 years in State Prison with a 5 year probationary term to run on and after the period of incarceration.

**Factual Background**

This case arises from an investigation into allegations of the defendant's criminal conduct at the Hinton State Lab in Jamaica Plain, Massachusetts. The investigation revealed that the defendant had tampered with the results of several drug samples from a number of pending criminal cases. She also falsely testified in six different counties that she had obtained a Master's degree in Chemistry from the University of Massachusetts. The Statewide Grand

Jurors indicted the defendant on eight counts of Tampering with Evidence (Ch. 268 §13E), one count of Perjury (Ch. 268 §1), one count of Falsely Claiming to Hold a Degree (Ch. 266 §89), and seventeen counts of Obstruction of Justice (Ch.268 §13B).

The defendant, Annie Dookhan, was employed as a chemist in the drug analysis unit of the Hinton State Lab in Jamaica Plain, which tested drug evidence submitted by law enforcement agents from across the state. The defendant was hired as a Chemist I in 2003, promoted to Chemist II in 2005, and resigned in March of 2012. In her capacity as a chemist, the defendant would analyze drug evidence and, at times, testify in court as to her findings.

Until June of 2011, Dookhan's work product was considered exemplary, and her productivity consistently among the highest of her co-workers. In June, however, a problem was discovered with the defendant's work. An evidence officer at the lab was in the process of scanning drug samples back into the drug safe when she noticed that 90 samples of drugs had not been properly scanned out of the drug safe and that no chemist appeared to be assigned to the samples. Although the defendant's name appeared on the control card as the primary chemist, in the evidence log book there was no indication that an evidence officer had signed out the drug samples to her, as was the standard protocol. On June 20, three of the defendant's supervisors met to discuss the problem and they took note of the problem, that is, that there were no evidence officer initials in the log book for those 90 samples.

The next day, when the defendant was confronted with the log book, her supervisors were surprised to see that the initials of evidence officer Gloria Philips were now in the log book. The defendant denied knowledge of any discrepancies with the log book. She claimed to not remember how the samples got into her possession in the first place. The defendant, however, later confessed to investigators that she had in fact written in Gloria Phillips' initials. During the

investigation, it was determined that the defendant regularly failed to follow proper protocols for signing out drug samples from the evidence room, and in fact tampered with evidence by forging the initials of an evidence officer to cover-up her misconduct.

In July of 2012, pursuant to recently enacted legislation, control of the drug lab was transferred from the Department of Public Health to the Executive Office of Public Safety and Security. As a result of this transfer, a more extensive investigation into the defendant's practices was initiated by the State Police. Massachusetts State Police investigators interviewed all the employees of the lab and questioned them about the defendant's lab practices. The defendant was interviewed by investigators on August 28, 2012 and she admitted to "dry labbing" some of the samples. "Dry labbing" is the term used for the practice of merely visually identifying samples instead of performing the required chemical test on them to determine if the sample was in fact a controlled substance. Investigators learned that the defendant would assemble multiple drug samples from different cases that appeared to be the same substance. She would then perform the chemical tests on a few of the samples to verify that the samples were in fact the drug she believed they were, and, if those were positive, she would certify that all the other, sometimes unrelated, samples were positive as well without performing the necessary chemical tests.

Also, it was standard practice for a small amount of a drug sample to be mixed into a vial by the primary chemist and then sent to a second testing stage to confirm the initial results. If the second test does not confirm the initial results, the vial is sent back to the primary chemist to concentrate and resubmit. When samples were sent back to the defendant at this stage, however, she tampered with the vials before resubmitting them in order to make them consistent with the inaccurate and positive results reached as a result of her "dry labbing." Recent testing done on

these samples by the Massachusetts State Police Crime Laboratory corroborates these allegations. Indeed, investigators were able to retest samples only because the defendant always altered the substances while they were in the testing vials. She did not alter the original samples.

The Commonwealth identified six specific instances where the defendant tampered with the testing vials. Five of those cases originated in Suffolk County: Jeffrey Banks, Paul Flannelly, Stephen Goudreau, Paul Reeves, and Michael Vasquez. One case is from Bristol County: Eliezer Santiago. In the case of Jeffrey Banks, the drug certificate generated and sworn to by the defendant that the substance was cocaine was submitted to a Suffolk County grand jury. The grand jury relied on the drug analysis to indict Banks.

In a review of the defendant's work emails, investigators found a discovery packet that had been emailed to a prosecutor in a pending criminal case that contained an altered test. In that packet, the defendant submitted a print-out for a test designed to quantify the drug sample. In organizing the discovery information, it appears that the defendant realized that she had not printed out, or indeed never ran, the quantifying analysis. To obscure this omission, the defendant ran the test using the case sample number and submitted it with the discovery packet. The defendant obliterated the notation of the date on which the test was run. This particular machine has no capacity to save past analyses and the print date on the bottom of the document states May 5, 2011, nearly six months after the drug samples were returned to the submitting police agency. Again, the sample was not contaminated; in fact, it was no longer at the lab when this test was performed.

Also, in fourteen separate criminal trials, the defendant testified as an expert witness regarding her job as a chemist in the drug lab. While under oath, she stated that she had a Master's degree in Chemistry from the University of Massachusetts at Boston. This testimony

was relied upon to establish a foundation both for the defendant's credibility as an expert and the reliability of the drug certificate admitted into evidence. Further investigation revealed that the defendant did not in fact hold a Master's degree in Chemistry from the University of Massachusetts, nor was she ever enrolled as a student in Master's level classes.

The defendant also perjured herself during her testimony in the Suffolk County trial of Commonwealth v. Blue. In that case, the defendant testified that she had a Master's in Chemistry and was in charge of quality control. A review of the questioning by the prosecuting and defense attorneys, as well as their closing arguments, reveals that the defendant's qualifications were a material fact in the trial, where each attorney relied on that fact to support his respective position at trial.

#### **Sentencing Considerations**

The sentence in any criminal case should reflect the judge's careful weighing of several important goals: "punishment, deterrence, protection of the public and rehabilitation." Commonwealth v. Goodwin, 414 Mass. 88, 92 (1993), citing Cepulonis v. Commonwealth, 384 Mass. 495, 499 (1981). A trial judge is permitted "great latitude" in sentencing. Commonwealth v. Celeste, 358 Mass. 307, 310 (1970). The "nature of the offense and the circumstances surrounding the commission of the crime" serve as the starting points to generating a fair and just sentence. Commonwealth v. Coleman, 390 Mass. 797, 805 (1984).

The defendant here is charged with intentionally tampering with evidence in a criminal case. The evidence suggests that the defendant's motivation for her actions was purely self-interested. Indeed, the defendant deliberately altered the results of drug analyses of at least six individuals to cover her own mistakes. Seeking to improve her productivity and burnish her reputation at work, the defendant deliberately skipped vital steps in the drug testing process.

With no regard for the consequences, the defendant ensured that samples would test positive for controlled substances thus eviscerating both the integrity of the lab's internal testing processes, and the concomitant fact finding process that was a jury's to perform.

Beyond the tampering of the drug samples, the defendant is charged with perjury and misleading the fact finders at trial. Again, her motives were purely self-serving. The defendant falsely bolstered her credentials and experience to appear more qualified than she actually was. In apparently believing that a Master's in chemistry sounds more impressive than a Bachelor of Science, the defendant betrayed a public trust.

Further, in addition to the case-specific facts readily available to a trial judge, "the judge may consider many factors which would not be relevant at trial including hearsay information about the defendant's character, behavior, and background." Commonwealth v. Goodwin, 414 Mass. at 92. Although a sentencing judge may not punish a defendant for conduct other than that for which he has been convicted, untried conduct is relevant for the purpose of fashioning an appropriate individualized sentence. Commonwealth v. Goodwin, 414 Mass at 93. Uncharged or untried conduct may be considered as bearing on the defendant's character, the likelihood of rehabilitation, and the type of punishment to be imposed by the sentencing judge. Commonwealth v. Stuckich, 450 Mass. 449, 461-462 (2008).

The gravity of the present case cannot be overstated. The defendant's actions not only affected the particular individuals named in the indictments but also the entire criminal justice system in Massachusetts. Her malfeasance has not only potentially affected every drug sample that the defendant is believed to have handled at the Hinton Lab, but her misconduct has helped to engender public mistrust in the criminal justice system by impugning the role of the government witness in a criminal trial and undermining the integrity of evidence admitted at

those trials. This level of mistrust now becomes an issue in every criminal trial for every defendant for both the Commonwealth and the defense.

The Commonwealth has spent hundreds of millions of dollars, both in attempting simply to make an accurate assessment of the scope of the defendant's damage, and in attempting to mitigate the effect on the thousands of individuals charged with drug offenses in the past decade. These monies have been spent on funding for reports and investigations to ascertain the damage and to determine which individuals were actually affected by the defendant's conduct. Additionally, the budgets of both prosecution and defense offices have been supplemented to meet the demands of the thousands of new collateral and trial motions filed by potentially affected individuals. Police departments are forced to pay overtime due to the influx of newly-released people into the communities, particularly in the city of Boston. Finally, the stress on the criminal justice system caused by the deluge of motions and hearings has substantially drained the resources of the courts.

Equally important is the impact on public safety. A direct consequence of her malfeasance is the dismissal of the criminal cases upon which the defendant's indictments were predicated. One defendant, Donta Hood, was released and is now charged with murder. In Mr. Hood's case, the defendant testified falsely at his trial that she had a Master's degree in chemistry. At least fifty other defendants who have been released due to Dookhan's wrongdoings have been re-arrested for other crimes.

### **Conclusion**

The Commonwealth's recommendation of 5-7 years in State Prison with a 5 year probationary term to run on and after the State Prison sentence is founded not only upon the serious nature of the crime, but also on the concerns of the public, which the Commonwealth



represents. Generally, a substantial period of incarceration is required as a general deterrent to others and, more importantly, as a means of expressing societal disapproval, or “punishment” of the defendant for her criminal behavior. See Commonwealth v. Therriault, 401 Mass. 237, 242 (1987) (stating “this court has recognized that punishment served other societal interests, including isolation and incapacitation, retribution and moral reinforcement, and reformation”). The total costs to rectify Dookhan’s actions have climbed into the millions with no end in sight, and the financial aspect does not even address the loss of liberty of affected individuals, the significant deleterious effect on the safety of the public, or the breakdown of public trust in the system. Given that the motives for the Defendant’s actions were selfish and shallow, coupled with the egregious damage she created for those reasons, significant incarceration is warranted. The sentence imposed by this Court should punish the Defendant accordingly.

The Commonwealth makes this recommendation in contemplation of the defendant accepting responsibility and pleading guilty. The Commonwealth recognizes that its recommendation is outside the Sentencing Guidelines, which call for an incarceration range of twelve to thirty-six months. The Defendant’s lack of criminal history and the non-violent nature of her offenses naturally reduce the sentence contemplated by the guidelines. However, the maximum sentence for Tampering with Evidence and Obstruction of Justice contemplated by statute is a maximum sentence of ten years in State Prison while Perjury carries a maximum of twenty years in State Prison. Therefore, the Sentencing Guidelines are of limited use in this case which involves aggravating factors such as the extensive collateral repercussions discussed *infra*. Given the significant gulf between the Sentencing Guidelines and the maximum sentence permitted by law, this Court should fashion its sentence based on the traditional and appropriate

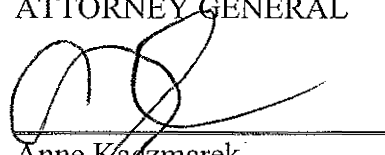
considerations of punishment, deterrence, protection of the public and rehabilitation, as detailed above.

Respectfully Submitted  
For the Commonwealth,

MARTHA COAKLEY  
ATTORNEY GENERAL

Date: October 17, 2013

By:



\_\_\_\_\_  
Anne Kaczmarek  
John Verner  
Assistant Attorneys General  
Office of the Attorney General  
One Ashburton Place  
Boston, MA 02108  
617-727-2200

34

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPERIOR COURT  
CRIMINAL ACTION  
NO. 12-11155

COMMONWEALTH

v.

ANNIE DOOKHAN

---

SENTENCING DECISION

RE-PROPOSED GUILTY PLEA

---

After consideration of the submissions of the parties and the arguments of counsel before this judge on October 18, 2013, I have decided that, if the defendant were to plead guilty before me, I would not exceed a sentence of three to five years in state prison, with a probationary term to follow, without allowing Ms. Dookhan to withdraw her change of plea. Probation would be for a period of two years and, if she is paroled short of five years, the probation would be unsupervised while she is being overseen by a parole officer.

I have reached this decision mindful of the uniqueness of this case and the extremes presented. On the one hand the defendant presents as a tragic and broken person who has been undone by her own ambition. The Commonwealth concedes that her criminal behavior was driven by nothing more than a desire to be recognized as a productive employee. On the other hand, the consequences of her behavior, which she

*Filed*  
*10-23-13*

ought to have foreseen, have been nothing short of catastrophic: innocent persons were incarcerated, guilty persons have been released to further endanger the public, millions and millions of public dollars are being expended to deal with the chaos Ms. Dookhan created, and the integrity of the criminal justice system has been shaken to the core.

It is certainly true that Ms. Dookhan has no prior record, that her disabled child will become another victim of her crimes upon her incarceration, and that the guidelines call for a sentence of but twelve to thirty-six months at the high end. However, given the magnitude of the harm she has done, considerations of general deterrence and, particularly, punishment dictate a significantly harsher sentence.

By the court,

Carol S. Ball JSC

Carol S. Ball  
Justice of the Superior Court

Date: October 23, 2013

**Commonwealth of Massachusetts  
County of Suffolk  
The Superior Court**

CRIMINAL DOCKET#: **SUCR2012-11155**

RE: Commonwealth v Dookhan, Annie  
TO: Nicolas A Gordon, Esquire  
200 Chauncy Street  
Mansfield, MA 02048

*Copy 10/23/13*  
*(1)*

---

**NOTICE OF DOCKET ENTRY**

You are hereby notified that on 10/23/2013 the following entry was made on the above referenced docket:

**Sentencing Decision Re-Proposed Guilty Plea, filed. (Ball, J.).**

Dated at Boston, Massachusetts this 23rd day of October, 2013.

Maura A. Hennigan,  
Clerk of the Court

Assistant Clerk

Telephone: 617-788-8101

Disabled individuals who need handicap accommodations should contact the Administrative Office of the  
Superior Court at (617) 788-8130

# MISCELLANEOUS



The Official Website of the Governor of Massachusetts

## Governor Deval Patrick

[Home](#) [Press Office](#) [Press Releases](#) [IG Glenn Cunha to Take Over Drug Lab Review](#)

DEVAL PATRICK  
GOVERNOR

TIM MURRAY  
LIEUTENANT GOVERNOR

### Media Contact

Kim Haberlin  
Bonnie McGilpin  
Mary-Leah Assad  
617-725-4025

For Immediate Release - November 05, 2012

## GOVERNOR PATRICK ANNOUNCES INSPECTOR GENERAL GLENN CUNHA TO TAKE OVER DRUG LAB REVIEW

With support of prosecutors and defense bar leaders, Cunha will be responsible for independent review of Hinton drug lab practices and operations

BOSTON – Monday, November 5, 2012 – Governor Deval Patrick today announced that Inspector General Glenn Cunha will take over the review of the Hinton Drug Laboratory's operations from the Attorney General's Office. The Governor called for an independent assessment of the drug lab to complement the ongoing criminal and central office investigations into chemist Annie Dookhan's wrongdoing and to determine whether the lab's failures are limited to Dookhan and her supervisors and managers, all of whom have been removed from their positions.

"Inspector General Cunha brings the necessary independence and experience to the task and enjoys the support of both prosecutors and the defense bar," said Governor Patrick. "I look forward to his findings."

"The integrity and credibility of the criminal justice system require a comprehensive and thorough review of the drug lab," said Inspector General Cunha. "My office is prepared to conduct such a review and to that end, I have already begun to assemble an experienced team to examine the lab's operations, paying particular attention to its policies and procedures."

"The Massachusetts Bar Association applauds Governor Patrick for his quick and decisive action in appointing Inspector General Cunha to conduct an independent investigation of the drug lab," said Martin Healy, Chief Legal Counsel to the Massachusetts Bar Association. "We are pleased that the Governor has selected the Inspector General, who has the experience and strong investigatory tools at hand to thoroughly examine the matter."

Inspector General Cunha will begin his work immediately. He plans to combine current staff and investigatory resources with the retention of independent forensic experts to determine whether potential failures at the drug lab impact cases beyond those handled directly by Dookhan. Alongside this review, Attorney David Meier is leading the central office the Governor established and is working collaboratively with prosecutors, defense attorneys, the courts, and other impacted agencies to oversee the identification of defendants whose cases may have been adversely affected by Dookhan. Meier has identified upwards of 1,900 cases to date, and has been sharing that information with prosecutors and defense attorneys so that they can make informed decisions about each defendant.

The IG's review and the central office are among the series of responsive and corrective steps the Administration has taken since Dookhan admitted to law enforcement that she mishandled evidence toward the end of her nine-year career. The Governor ordered the lab's immediate closure on August 29 and since then the Administration has been in regular contact with effected parties, urging collaboration and reiterating the Governor's commitment to preventing potential miscarriages of justice, assigning accountability and restoring integrity to the drug lab's work. The Massachusetts State Police are now responsible for all state drug sample testing and the Administration has filed a supplemental funding request with the Legislature to cover costs associated with case review, court hearings, public safety programs and other efforts to respond to the drug lab's failures.

Prior to being named Inspector General in July, Cunha served as Chief of the Insurance & Unemployment Fraud Division and Managing Attorney of the Criminal Bureau in the Attorney General's Office. In the latter role, he oversaw the management of eight divisions, supervised division chiefs and worked closely with the State Police Detectives Unit assigned to the Attorney General's Office. He supervised investigations and prosecutions relative to financial fraud, probation, lottery, fraudulently-produced MBTA passes, human trafficking, child pornography and a case of complex fraud by a charity organization. At the same time, Cunha also managed a caseload of public corruption matters, including investigations of the Middlesex Sheriff's Department, Medford Housing Authority, and Chelsea Housing Authority.

###

Follow us on [Twitter](#) - View our [Photos](#) - Watch our [Videos](#)

COMMONWEALTH OF MASSACHUSETTS

SUFFOLK, ss.

SUPREME JUDICIAL COURT

ORDER

This Order is issued to facilitate the handling of matters related to allegations of misconduct at the William A. Hinton State Laboratory Institute. To further the expeditious handling of such matters, and notwithstanding any provisions to the contrary in any Rule of Court or Standing Order, it is hereby ORDERED that a Chief Justice of a Trial Court Department may assign for all purposes, including disposition, any post conviction motion in which a party seeks relief based on alleged misconduct at the Hinton State Laboratory to any judge of that Trial Court Department. The assigned judge may reassign the motion to the original trial judge where the interests of justice require.

This Order is effective immediately and shall remain in effect until further Order of this Court.

RODERICK L. IRELAND Chief Justice

FRANCIS X. SPINA )

)

)

ROBERT J. CORDY )

)

)

MARGOT BOTSFORD )

)

Justices

)

RALPH D. GANTS )

)

)

FERNANDE R.V. DUFFLY )

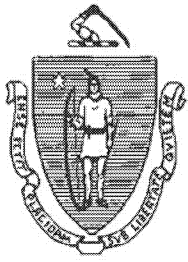
)

)

BARBARA A. LENK )

DATE: NOVEMBER 9, 2012





ANTHONY J. BENEDETTI  
CHIEF COUNSEL

# The Commonwealth of Massachusetts

## Committee for Public Counsel Services

44 Bromfield Street, Boston, MA 02108-4909

TEL: (617) 482-6212  
FAX: (617) 988-8495

Crime Lab Testimony of the Committee for Public Counsel Services  
Anthony J. Benedetti, Chief Counsel  
Presented before the  
House Committee on Post Audit and Oversight  
Joint Committee on Public Health  
Joint Committee on Public Safety & Homeland Security  
December 12, 2012

Chairman Linsky, Chairman Naughton, Chairman Sanchez, and members of the Committee thank you for inviting me to testify before you today. My name is Anthony Benedetti and I am the Chief Counsel for the Committee for Public Counsel Services (CPCS).

As you know, CPCS is the state agency constitutionally and statutorily mandated to provide representation for indigent persons in Massachusetts which includes the right to counsel for those charged with a criminal offense. We are deeply troubled by the scandal at the William Hinton State Laboratory (Hinton Lab) and the impact it is having on our justice system. We are especially troubled that the pervasive misconduct may have resulted in the violation of the fundamental rights of thousands, specifically the right to a fair and reliable adjudication of the charges brought against them. Many of these individuals have been convicted when they should not have been. Many have had to serve longer sentences as a result of drug weights being altered by Hinton Lab chemist Annie Dookhan. Many have suffered not only unjust imprisonment, but have also been subjected to severe collateral consequences, including job loss, exclusion from public housing, loss of federal student aid, termination of parental custody, and deportation.

The primary goal in trying to rectify this unprecedented scandal must be to ensure that every single individual affected by this breakdown in the criminal justice system is afforded the relief that he or she deserves. This needs to be accomplished in the fairest, least burdensome, and most expedient way possible. Only if every single individual is afforded relief will the Commonwealth be able to restore public confidence in the criminal justice system.

When CPCS first learned last summer about the extent of Annie Dookhan's egregious mishandling of suspected drug evidence, we took the following steps:

- 1 We asked our staff attorneys and the private bar to search through past cases to try to locate any that were handled by Dookhan and to identify the original counsel assigned to each case.
- 2 We contacted district attorneys in impacted counties and asked them to share with us any docket numbers and drug certifications, the true names of defendants who were only identified by nicknames or aliases, and the names of any codefendants involved in cases who were not already identified.
- 3 We set up a hot line for anyone who believed they had been wrongly convicted by misconduct at the Hinton Lab to call to obtain legal assistance.

Not long after we began these initiatives, we were invited to be a participant in the “Boiler Room” set up by Governor Patrick to assist in identifying individuals whose cases have been tainted. Although the job of accurately identifying these individuals is still proving to be extremely challenging, the initial meetings brought all relevant parties together and set the stage for collaboration.

In addition, CPCS met with all levels of the Trial Court – Superior, District, and Boston Municipal – to discuss best procedures to handle these cases and be fully informed of the Court’s decision on the scheduling of initial hearings. We established teams in every county so that bar advocate programs and public staff attorneys were prepared for these hearings and we introduced a training module to educate our attorneys on how to handle these unique cases.

As more information on the scandal was released, CPCS became aware of the incredible magnitude of the problem. Like others, we were stunned by the initial assessment that Dookhan was associated with over 34,000 cases, most of which involve CPCS clients. Regrettably, as more facts emerged through the distribution of discovery compiled by the state police investigation we discovered that in addition to the intentional fraud committed by Dookhan in her own cases, there was also opportunity for her to affect results produced by other chemists throughout the lab. The information revealed system-wide defects in security, reporting, QA/QC, and oversight. It exposed a lax laboratory culture that not only permitted Dookhan’s conduct, but allowed other inconsistencies and inaccuracies to flourish, which inevitably tainted the entire Hinton lab.

Details of the specific misconduct related to Dookhan, and the lax policies and procedures at the Hinton lab are numerous. Facts gleaned from the discovery reveal information that is clearly exculpatory. With the disclosure of exculpatory information, individuals must be afforded the right to argue to have their convictions overturned because of the tainted evidence. Examples of some of the exculpatory information revealed thus far:

- Dookhan prepared false drug reports without doing any testing, what is referred to as “dry-labbing.”
- Dookhan accessed the evidence safe unsupervised and apparently had the key to do so her entire career at the Hinton Lab. This of course gave her the opportunity to contaminate, alter, or in any way tamper with any sample in the lab.
- Dookhan intentionally contaminated drug samples to get the result that she wanted, including comingling of samples. She could easily have done the same to any other sample in the lab to which she had access.
- The security system for the lab was very lax and not at all secure. There were frequent gaps in evidence room coverage and absences. The evidence safe was left unattended and open at times. This was attested to by multiple chemists and evidence officers in their interviews in the state police investigation.
- Based on the discovery we know that chemists’ keys opened the evidence safe. We know that Dookhan accessed the safe unsupervised and it is unclear which other chemists knew their keys opened the safe.
- The discovery says that there were times when the evidence safe was overflowing with samples and so they could not be properly stored in the safe at all. This immense backlog existed for most of Dookhan’s time in the lab and resulted in Middlesex county samples being officially reassigned to the Massachusetts State Police Lab in Sudbury.

- Chemists kept multiple samples of drugs from multiple cases in their own work lockers for weeks and months at a time. There is no documentation to prove that these were stored in a manner that would prevent contamination.
- Dookhan kept multiple cases open at her work bench at the same time. She would “batch” samples by taking out large groups of the same drug and attempting to analyze them all at once. It is easy for drug particles to become airborne and to contaminate other samples not only on the same bench, but even within the same lab.
- Additionally, we know that at times she wouldn’t test all of the samples but just test some of them. A confirmatory chemist would then analyze the samples to confirm and if one sample came back negative, they would just send it back to Dookhan to retest. There are no records of when or how often this happened. She admits that as a result of her “dry-labbing” she went back and doctored results and this batch-testing process presents the same dynamic for fraud.
- When performing the role of the preliminary chemist, Dookhan would seemingly do as much of the job of the confirmatory chemist as she could and then forge the initials of the confirmatory chemist on this preparatory work.
- Finally, the Hinton Lab standard operating procedures did not include an acceptable level of comprehensive quality assurance (QA) and quality control (QC) policies and procedures, and insufficient documentation that any procedures were followed.

In light of this discovery, CPCS realized that the potential number of tainted cases could be far greater than the 34,000 that was initially discussed. To try to determine the potential number and in turn how many cases CPCS may have to handle (provide counsel for) we had to perform a budget and staffing assessment.

We began by running a report from our private attorney billing records for the years 2003 to 2012 requesting the number of cases (NACs) that had any drug charge issued in the eight counties served by the Hinton Lab. The report revealed that there were a total of 182,111 such cases. After factoring in an estimate for the number of cases handled by staff attorneys and an estimate of the number of Middlesex County drug cases in or after 2009 that were not tested at the Hinton Lab, we concluded that our possible exposure – the universe of cases out of the Hinton lab – was approximately 190,000 cases. That said, of the estimated 190,000 cases, some may have been conducted by the state police in conjunction with local law enforcement and tested at the State Police Lab and not at Hinton. Our understanding is that only investigations that involved multiple police departments or crossed county lines would have gone to the State Police Lab. If this proves true, our projected universe would be somewhat smaller.

CPCS disclosed this number to the Executive Office of Administration & Finance (ANF) at the end of October in response to their request for an assessment of our initial and projected related costs. In presenting the information to ANF we divided the nature and costs into three categories – work and costs associated with an initial assessment of the 7,500 cases that we knew of at the time of the request, work and costs related to the later acknowledged 34,000 cases, and the possible work and costs generated by the worst case scenario, the need for counsel to individually litigate 190,000 cases. The total number of cases that will be individually litigated will, in large part, be dependent on prosecutorial decisions. The number of cases the district attorneys choose to litigate, rather than dismiss, will determine the number of cases where CPCS will have to appoint counsel and, ultimately, the total cost. Shortly after providing this information to ANF, we delivered and discussed it with the staff of the House and Senate Committees on Ways & Means, Leadership in both branches, and several members of this Committee.

To help you better understand how we built our assessment of the potential work and related costs, both long and short term, I am submitting to the Committee an outline of our initial assessment of the nature and costs related to the Hinton Lab and a related spreadsheet.

No one knows exactly how many cases this scandal will ultimately generate. To date, a universally accepted methodology to determine the total number has not been established. CPCS firmly believes that informing the Administration and the Legislature of our projected possible universe of cases and the potential costs related to this worst case scenario was the best, most honest position from which to start, especially because CPCS will have no control over the number of cases litigated. To present a smaller, more palatable, but inaccurate number, and then be required to request additional assistance as this smaller, less troublesome number grows, would be misleading and much less productive.

The most critical decision that will drive the overall number of cases and ultimately the cost, as I mentioned above, will be made by the District Attorneys of the Commonwealth. The DAs must find a cost-effective alternative to a case-by-case adjudication of all cases to avoid protracted litigation of thousands of cases over several years and their related costs. A case-by-case adjudication will result in staggering costs to taxpayers without any substantial benefit. For instance, in cases where defendants have served more than half of their sentences, District Attorneys should resolve the cases by dismissals. In cases where Ms. Dookhan analyzed the samples and individuals are not also charged with a violent crime or a weapons offense, District Attorneys should resolve the cases by dismissals.

If the District Attorneys in each county impacted by tainted drug samples exercise their discretion in this manner, then the time and cost associated with these cases will be diminished greatly and justice will be well served. While some cases will certainly require individual treatment, many others demand a broad-based approach, and one that will assure consistency and provide justice to those convicted on tainted evidence while at the same time save taxpayer dollars. A broad based approach will substantially reduce the burden on CPCS attorneys, assistant district attorneys and the court system, allowing all to focus on litigating the more serious cases. It will allow public defenders and prosecutors to focus on cases being litigated for the first time, rather than on post-conviction cases where the primary conviction is tainted based on the misconduct of a prosecution witness.

Before closing, I would like to address one last critical issue. It does not resolve the immediate problem created by the Hinton Lab scandal, but it will help to prevent similar problems from occurring in the future. I believe all agree that there must be a process put in place that prevents a recurrence of this debacle. Although the breadth of our problem is unprecedented, sadly, we are not the first state to have issues with the veracity or certainty of samples tested by crime labs. The Innocence Project, a national litigation and public policy organization dedicated to exonerating wrongfully convicted persons, has been documenting cases for years and is leading the fight to establish meaningful oversight of labs in every state across the nation. A number of states have come to rely on autonomous forensic commissions or advisory boards that provide independent and expert review of labs. The assistance provided and the auditing conducted by these independent entities help curtail incidents of misconduct and even reduce incidents of errors that often lead to serious miscarriages of justice.

The Innocence Project reports, and I quote, "improper forensic science is a leading cause of wrongful convictions. In more than 50% of the DNA exonerations nationwide, unvalidated or improper forensic science have contributed to underlying wrongful convictions." Because of this, the Innocence Project encourages states to establish independent panels that include a wide range of experts who understand the needs of the forensic community.

CPCS is committed to helping prevent such a scandal from undermining our criminal justice system ever again. We offer our assistance to work in collaboration with members of your committees, the entire Legislature, the Executive branch, the Court, law enforcement, and the defense community to explore the possibility of an independent board to oversee all crime labs in the Commonwealth. The present situation makes it all too evident that something must be done as we move forward. Only then can Massachusetts be

confident that the misconduct that occurred at the Hinton Lab and the subsequent slow reaction to informing the public of that misconduct will not happen again.

In addition, although some Massachusetts laboratories are accredited, the Hinton Lab was not. In fact, it never was, and its procedures and protocols were generalized and lacked specificity. We urge that action be taken to assure that all Massachusetts crime laboratories are subject to thorough and higher quality system certifications. The Massachusetts State Police Lab is moving toward a higher standard, and should be commended for it. The interests of a balanced and just legal system would seem to dictate that each of the Commonwealth's forensic laboratories be held to the same standards.

We also ask that concerns raised in a report by the National Academies of Science, Engineering, and Medicine be given serious consideration. The report, "Strengthening Forensic Science in the United States: A Path Forward," funded by the U.S. Department of Justice and published in 2009, cautions that crime lab systems administered by law enforcement are problematic and, I quote, "lead to significant concerns related to the independence of the laboratory and its budget." A number of states, among them Connecticut, Virginia and Rhode Island, as well as the District of Columbia and two Texas counties, have established independent crime labs. Other states, such as New Mexico and North Carolina are considering legislation on this matter. While the Massachusetts State Police should be applauded for playing a key role in investigating and exposing the scandal at the Hinton Lab, it does not immunize Massachusetts from problems that arise when labs lack autonomy from law enforcement.

If we truly want to expend the effort and energy to establish safeguards at our crime labs then let us do so in a way that ensures we will not be exposed to future miscarriages of justice. The effort expended in establishing these safeguards will be minimal in comparison to the effort we are all now exerting to undo the miscarriages of justice caused by the lack of oversight at the Hinton Lab. After all, this scandal has revealed much more than just the malfeasance of a single chemist. It has revealed a laboratory-wide cascade of failures. It has uncovered lapses in documentation, oversight, security, and meaningful quality control and assurance. These lapses would seem to have been too numerous to count and that no one in the lab was interested in doing the counting. Indeed, there was no DPH-wide Quality unit, no third-party certifying body, and no state or federal agency whose duty it was to audit any of the procedures and policies that were in place and, most importantly, to make sure they were being followed.

I would like to thank the Committee for inviting me to testify before you today. If you have any questions for me I will do my best to answer them.



## After Dookhan, backlog burdens Sudbury drug lab

By Laura Krantz/Daily News staff

**The MetroWest Daily News**

Posted Mar 10, 2013 @ 12:16 AM

Last update Mar 10, 2013 @ 07:52 PM

### On the Web

[Read more about the scandal](#)

SUDBURY — Seven chemists in a MetroWest lab are struggling to keep up with a gargantuan backlog of drug samples that mushroomed from 400 to 14,000 in the seven months since the evidence tampering scandal, police say.

A little-known effect of the Dookhan crisis is the colossal amount of work suddenly shouldered by the police crime lab in Sudbury, which performs the same duties as the now-closed Hinton Laboratory in Jamaica Plain. The lab identifies the identity of drug samples for police and prosecutors to use as evidence.

Local police evidence officers say the turnaround time for drug sample results has doubled, making them worry it could hamper prosecutors' ability to charge people in drug crimes.

"Oh boy is it taking longer," said Marlborough Sgt. Richard Medeiros, who is still waiting for samples he took to the lab in August.

Before the Dookhan crisis, in which the chemist from Franklin allegedly tampered with drug samples in as many as 100 cases statewide, Medeiros said it took six to eight weeks for the lab, located at 59 Horse Pond Road, to analyze a sample.

"I'm looking at least six months now," he said.

Framingham evidence officer Alan Dubeshter said pre-Dookhan, the turn-around time was six weeks. Post-Dookhan, it's now months.

He takes fewer trips now, going to the Sudbury lab every three weeks instead of every two.

So far the lag hasn't affected police work, Dubeshter said. But he said judges could dismiss court proceedings if evidence isn't analyzed in time.

Franklin and Milford police, who take about 25 samples each month to the Sudbury lab, said they have not noticed a significant increase in turnaround time.

Meanwhile, state police understand the backlog's implications and are working to shrink it.

After the Dookhan investigation unfolded last July, state police transferred 8,000 cases from Jamaica Plain to Sudbury. Massachusetts State Police spokesman David Procopio.

Since then, the Sudbury lab has also taken new drug cases that would have gone to Hinton. The lab analyzes between 100 and 200 drug cases per month, with an average turn-around time of 91 days.

Procopio said the lab has had to prioritize cases because of the increased workload and still has samples from more than 100 cases.

ago.

State police plan to reduce the backlog by hiring more chemists. Seven are training and two more are undergoing background checks, Procopio said.

"We are devoting increased resources there, which we expect will reduce the backlog and improve turnaround time, email. "That is an important point. Numbers should improve significantly once all new chemists are trained and working."

Chemists from the Jamaica Plain lab will not be allowed to return to work at least until after the state inspector general's operations finishes his review, Procopio said.

District Attorney Gerry Leone, whose office prosecutes many drug criminals, said he is confident the staffing plan will resolve the backlog.

"We remain confident in the ability of the Massachusetts State Police to execute their remedial staffing plan in a way that does not compromise to the time it takes to analyze and process drugs for our usage in presenting our cases in court in a fair, efficient fashion," Leone said in a statement.

*Laura Krantz can be reached at 508-626-4429 or [lkrantz@wickedlocal.com](mailto:lkrantz@wickedlocal.com). Follow her on Twitter [@laurakr](https://twitter.com/laurakr)*

**Commonwealth of Massachusetts  
ESSEX SUPERIOR COURT  
Case Summary  
Criminal Docket**

---

**Commonwealth v Rodriguez, Angel**

---

Details for Docket: ESCR2007-00875

**Case Information**

<b>Docket Number:</b>	ESCR2007-00875	<b>Caption:</b>	Commonwealth v Rodriguez, Angel
<b>Entry Date:</b>	06/13/2007	<b>Case Status:</b>	CtRm 3 (Lawrence)
<b>Status Date:</b>	11/18/2013	<b>Session:</b>	Sentence Appeal Pending
<b>Lead Case:</b>	NA	<b>Deadline Status:</b>	Active since
<b>Trial Deadline:</b>	07/19/2007	<b>Jury Trial:</b>	NO

---

**Parties Involved**

---

2 Parties Involved in Docket: ESCR2007-00875

<b>Party Involved:</b>		<b>Role:</b>	Defendant
<b>Last Name:</b>	Rodriguez	<b>First Name:</b>	Angel
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

<b>Party Involved:</b>		<b>Role:</b>	Plaintiff
<b>Last Name:</b>	Commonwealth	<b>First Name:</b>	
<b>Address:</b>		<b>Address:</b>	
<b>City:</b>		<b>State:</b>	
<b>Zip Code:</b>		<b>Zip Ext:</b>	
<b>Telephone:</b>			

---

**Attorneys Involved**

---

8 Attorneys Involved for Docket: ESCR2007-00875

**Attorney**



**Involved:**  
**Last Name:** Cahill  
**Address:** 1 Salem Green  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-825-2050  
**Fascimile:** 978-741-8567

**Firm Name:** MA150  
**First Name:** Carol Lynn  
**Address:** Suite 408  
**State:** MA  
**Zip Ext:** 3724  
**Tel Ext:** 617  
**Representing:** Rodriguez, Angel (Defendant)

**Attorney Involved:**  
**Last Name:** Leos  
**Address:** 1 Salem Green  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-825-2020  
**Fascimile:** 978-741-8567

**Firm Name:** MA150  
**First Name:** Lynette M  
**Address:** Suite 408  
**State:** MA  
**Zip Ext:** 3724  
**Tel Ext:**  
**Representing:** Rodriguez, Angel (Defendant)

**Attorney Involved:**  
**Last Name:** Duran  
**Address:** 15 Commonwealth Ave  
**City:** Woburn  
**Zip Code:** 01801  
**Telephone:** 781-897-8900  
**Fascimile:** 781-897-8901

**Firm Name:** MIDD02  
**First Name:** Denise S  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

**Attorney Involved:**  
**Last Name:** Barker  
**Address:** 1 Salem Green  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-825-2020  
**Fascimile:** 978-741-8567

**Firm Name:** MA150  
**First Name:** Amanda L.  
**Address:** Suite 408  
**State:** MA  
**Zip Ext:** 3724  
**Tel Ext:**  
**Representing:** Rodriguez, Angel (Defendant)

**Attorney Involved:**  
**Last Name:** Strasnick  
**Address:** 10 Federal Street  
**City:** Salem  
**Zip Code:** 01970

**Firm Name:** ESSE02  
**First Name:** Jessica M  
**Address:**  
**State:** MA  
**Zip Ext:**

**Telephone:** 978-745-6610  
**Fascimile:** 978-741-4971

**Tel Ext:** 5082  
**Representing:** Commonwealth, (Plaintiff)

**Attorney  
Involved:**

**Last Name:** Logan  
**Address:** 10 Federal Street  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-745-6610  
**Fascimile:** 978-741-4971

**Firm Name:** ESSE02  
**First Name:** Ashlee  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Commonwealth, (Plaintiff)

**Attorney  
Involved:**

**Last Name:** Ranieri  
**Address:** 1 Salem Green  
**City:** Salem  
**Zip Code:** 01970  
**Telephone:** 978-744-9113  
**Fascimile:** 978-741-8567

**Firm Name:** MA150  
**First Name:** Victoria  
**Address:** Suite 408  
**State:** MA  
**Zip Ext:** 3724  
**Tel Ext:**  
**Representing:** Rodriguez, Angel (Defendant)

**Attorney  
Involved:**

**Last Name:** Levin  
**Address:** 44 Bromfield Street  
**City:** Boston  
**Zip Code:** 02108  
**Telephone:**  
**Fascimile:**

**Firm Name:**  
**First Name:** Patrick  
**Address:**  
**State:** MA  
**Zip Ext:**  
**Tel Ext:**  
**Representing:** Rodriguez, Angel (Defendant)

---

## Calendar Events

---

34 Calendar Events for Docket: ESCR2007-00875

No.	Event Date:	Event Time:	Calendar Event:	SES:	Event Status:
1	07/17/2007	09:00	Arraignment	1	Event held as scheduled
2	08/30/2007	09:00	Conference: Pre-Trial	1	Event held as scheduled
3	10/01/2007	09:00	Hearing: Motion	1	Event not held--joint request
4	11/05/2007	09:00	Hearing: Pre-Trial	1	Event not held--joint request
5	11/21/2007	09:00	Status: Review by Clerk	1	Event rescheduled by court prior to date

6	12/20/2007	09:00	Hearing: Non-Evidentiary - Suppression	1	Event held as scheduled
7	01/03/2008	09:00	Conference: Trial Assignment	1	Event not held--joint request
8	01/29/2008	09:00	Hearing: Plea Change	1	Event held as scheduled
9	11/09/2012	10:00	Drug Lab: Hearing Stay Sentence	2	Event held as scheduled
10	12/10/2012	10:00	Drug Lab: Status	2	Event held as scheduled
11	01/03/2013	10:00	Drug Lab: Status	4	Event held as scheduled
12	01/17/2013	10:00	Drug Lab: Status	4	Event held as scheduled
13	02/07/2013	10:00	Drug Lab: Hearing Motion for New Trial	4	Event not held--joint request
14	02/14/2013	14:00	Drug Lab: Hearing Motion for New Trial	4	Event held as scheduled
15	02/28/2013	10:00	Conference: Status Review	4	Event held as scheduled
16	03/28/2013	10:00	Drug Lab: Hearing Motion for New Trial	4	Event not held--joint request
17	04/18/2013	10:00	Drug Lab: Status	4	Event canceled not re-scheduled
18	04/19/2013	09:30	Drug Lab: Hearing Motion for New Trial	T1	Event held--(ACTIVE) under advisement
19	06/06/2013	09:30	Conference: Trial Assignment	1	Event held as scheduled
20	06/06/2013	10:00	Drug Lab: Status	4	Event held as scheduled
21	08/06/2013	09:30	Conference: Pre-Trial	1	Event held as scheduled
22	08/29/2013	09:30	Conference: Status Review	1	
23	09/24/2013	09:30	Conference: Status Review	1	Event held as scheduled
24	09/25/2013	09:30	Conference: Final Pre-Trial	1	Event held as scheduled
25	10/08/2013	09:30	TRIAL: by jury	1	Event not held--joint request
26	10/09/2013	09:00	TRIAL: by jury	T3	Event moved to another session
27	10/09/2013	09:00	TRIAL: by jury	T1	Event held as scheduled
28	10/10/2013	09:00	TRIAL: by jury	T1	Held in Session Ready for trial
29	11/05/2013	09:00	TRIAL: by jury	T1	Event moved to another session
30	11/05/2013	09:00	TRIAL: by jury	T3	Trial begins
31	11/06/2013	09:00	TRIAL: by jury	T3	Event continues over multiple days
32	11/07/2013	09:00	TRIAL: by jury	T3	Event continues over multiple days
33	11/08/2013	09:00	TRIAL: by jury	T3	Event held as scheduled
34	11/12/2013	09:00	TRIAL: by jury	T3	Trial ends

---

## Full Docket Entries

---

205 Docket Entries for Docket: ESCR2007-00875

<b>Entry Date:</b>	<b>Paper No:</b>	<b>Docket Entry:</b>
06/13/2007	1	Indictment returned

07/16/2007		Summons for arraignment issued ret 7/17/07
07/17/2007		Deft arraigned before Court
07/17/2007	2	Interpreter present: Tania V. West on 7/17/2007
07/17/2007	3	Appearance of Commonwealth's Atty: Denise S Duran
07/17/2007	4	Appearance of Deft's Atty: Carol Lynn Cahill
07/17/2007		Deft waives reading of indictment
07/17/2007		RE Offense 1:Plea of not guilty
07/17/2007		Bail set: \$250,000.00 Cash Set without prejudice
07/17/2007		Bail warning read
07/17/2007		Legal counsel fee assessed in the amount of \$150.00 (Howard
07/17/2007		Whitehead, Justice)
07/17/2007	5	Commonwealth files Notice of Discovery
07/17/2007		Assigned to Track "A", see scheduling order
07/17/2007	6	Case Tracking scheduling order (Howard Whitehead, Justice) mailed
07/17/2007	6	7/19/2007
07/17/2007	7	Interpreter present: Tania V. West on 7/17/2007.
07/19/2007		Tracking deadlines Active since return date
08/30/2007	8	Appearance of Deft's Atty: Lynette M Leos - C.P.C.S.
08/30/2007	9	Joint Pre-Trial Conference.
10/01/2007	10	Motion for Discovery of Surveillance Information no action taken at
10/01/2007	10	this time
10/01/2007	11	Motion for List of Witnesses Agreed
10/01/2007	12	Motion for Discovery of Physical and Documentary Evidence Agreed
10/01/2007	13	Motion for Rewards Promises and Inducements Agreed
10/01/2007	14	Motion for Discovery of Statements of Defendant agreed
10/01/2007	15	Motion for Notice of Expert Testimony Agreed
10/01/2007	16	Motion of Statements of Co-Defendant Agreed
10/01/2007	17	Motion for Discovery of Booking Sheets and Related Documents Agreed
11/05/2007	18	Commonwealth's certificate of discovery compliance filed in court
11/21/2007	19	Motion to suppress filed
12/20/2007		Motion #19 DENIED (Whitehead, J)
12/20/2007	20	Interpreter present: on 12/20/2007
01/29/2008		RE Offense 1:Guilty plea (lesser offense) to so much of the
01/29/2008		Indictment that alleges Trafficking Cocaine over 28 Grams
01/29/2008	21	Waiver of defendants' rights
01/29/2008	22	001 Defendant sentenced to Five to Seven (5-7) Years Committed to the
01/29/2008	22	Massachusetts Correctional Institution Cedar Junction. Credit of 286
01/29/2008	22	Days (Howard Whitehead, Justice)
01/29/2008	23	Victim-witness fee assessed: \$90.00 (Howard Whitehead, Justice)
01/29/2008		Fee: waived \$150.00 Drug Assessment and \$50.00 Attorney Fee
01/29/2008	24	Abstract sent to RMV
01/06/2009		Victim-witness fee paid as assessed \$90
10/21/2012		

	25	Defendant's Motion To Vacate Guilty Plea (Drug Lab)
10/31/2012	26	Defendant's Motion to Stay Sentence (Drug Lab)
10/31/2012	27	Defendant's Motion for Discovery (Drug Lab)
11/09/2012		Appearance of Commonwealth's Atty: Jessica M Strasnick
11/09/2012		Committee for Public Counsel Services appointed, pursuant to Rule 53
11/09/2012		Amanda Barker
11/09/2012	28	Commonwealth's Opposition to the Defendant's Motion to Stay Execution
11/09/2012	28	of Sentence Filed
11/09/2012		Hearing Held on Motion to Stay ; Motion DENIED (Lowy, J.)
02/22/2013	29	Joint Motion To Stay Decision And Defendant's Motion To Re-Open
02/22/2013	29	Evidence - filed.
02/26/2013		MOTION (P#29) allowed (Cratsley, Special Judicial Magistrate) Copies
02/26/2013		mailed 4/26/2013
03/22/2013	30	Deft files memorandum in Support of Motion to Vacate Guilty Plea
03/22/2013	31	Commonwealth files memorandum in Support of its Opposition to
03/22/2013	31	Defendant's Motion to Withdraw Guilty Plea
03/28/2013	32	Proposed Findings and Order on Defendant's Motion to Withdraw Guilty
03/28/2013	32	Plea (Cratsley,j)
03/28/2013	33	Motion #25 My proposed Findings and Order that this motion be Allowed
03/28/2013	33	filed today (Cratsley,J)
04/01/2013	34	Commonwealth files objection to the special magistrates ruling
04/01/2013	34	allowing the defendant's motion for new trial. (Copy to Lu, J.)
04/02/2013	35	Deft files Response To The Commonwealth's Objection To The Special
04/02/2013	35	Magistrate's Ruling Allowing The Defendant's Motion For New Trial.
04/19/2013		De Novo hearing held on Commonwealth's Objection to Special
04/19/2013		Magistrate's Proposed Findings and Rulings held and taken under
04/19/2013		advisement
04/19/2013		File returned to Salem Superior Court
05/29/2013	36	MEMORANDUM AND ORDER - Angel Rodriguez' motion to withdraw his guilty
05/29/2013	36	plea (paper #25) is allowed. (John T. Lu, Justice)
06/06/2013		Motion for new trial Allowed on 5/29/13 prior sentences vacated this
06/06/2013		date
06/06/2013	37	ORDER on Vacated Sentence Drug Lab
06/06/2013	38	Bail set: \$\$10,000.00 Cash
06/06/2013		Bail warning read
07/09/2013		Court Reporter JAV Essex CV CtRm 3 Lawrence is hereby notified to
07/09/2013		prepare one copy of the transcript of the evidence of 04/19/2013
07/09/2013	39	Transcript of testimony received from Transcript of proceedings from
07/09/2013	39	Court Reporter Elizabeth Hayes, Court Reporter ( JAV Essex CV) CtRm 3
07/09/2013	39	Lawrence
08/06/2013	40	Appearance of Deft's Atty: Victoria Ranieri
09/25/2013	41	Filed: Joint Pre-Trial Memorandum
09/25/2013		

	42	Motion to Exclude Proposed Expert Witness Testimony or in the
09/25/2013	42	Alternative for a Daubert Lanigan Voir of Proposed Expert Witnesses
09/25/2013	42	Filed
10/09/2013		Interpreter present: West, Tania on 10/9/2013
10/09/2013	43	Commonwealth files list of witnesses
10/09/2013	44	Commonwealth files proposed voir dire questions for purposes of jury
10/09/2013	44	impanelment
10/09/2013	45	MOTION by Commonwealth: in limine to exclude testimony of Daniel
10/09/2013	45	Renczkowski
10/09/2013	46	MOTION by Deft: to sequester witnesses
10/09/2013	47	MOTION by Deft: in limine for voir dire and exclusion of improper
10/09/2013	47	opinion testimony
10/09/2013	48	MOTION by Deft: for examination of jurors
10/09/2013	49	Request of defendant for appointment of court reporter
10/09/2013	50	MOTION and memo by Deft: to exclude proposed expert witnesses
10/09/2013	50	testimony or in the alternative for a Daubert-Lanigan voir dire of
10/09/2013	50	proposed expert witnesses
10/09/2013	51	MOTION by Deft: to strike alais name from indictment
10/09/2013	52	MOTION by Deft: in limine regarding the issuance of a search warrant
10/09/2013	53	MOTION by Deft: in limine to exclude evidence of prior arrest, drug
10/09/2013	53	activities or that the defendant is "known to the police"
10/09/2013		MOTION (P#46) allowed (Richard E. Welch III, Justice).
10/09/2013		MOTION (P#49) denied (Richard E. Welch III, Justice).
10/09/2013		MOTION (P#50) allowed as to a hearing (Richard E. Welch III, Justice).
10/10/2013	54	MOTION by Deft: To Quash Summons Or In The Alternative To Allow
10/10/2013	54	Written Assertion Of Fifth Amendment Privilege Through Affidavit Of
10/10/2013	54	Counsel and Affidavit in Support Of - filed. faxed to Lawrence Sup.
10/10/2013	54	Ct.
10/10/2013		MOTION (P#54) allowed in part. Assertion of privilege through counsel
10/10/2013		permitted. (Richard E. Welch III, Justice). Copies mailed 10/10/2013
10/10/2013	55	MOTION to Quash Subpoena for Detective Lieutenant Robert Irwin
10/10/2013		MOTION (P#55) After hearing allowed in part. In giving limited to
10/10/2013		statements made by Dookan, whether Lieutenant Irwin in quire into
10/10/2013		contamination not only of vials, but bag of evidence itself and
10/10/2013		finally wheather there is any evidence that Dookan altered drug
10/10/2013		analysis in 2007. (Richard E. Welch III, Justice). Copies mailed
10/10/2013		10/10/2013
10/10/2013		MOTION (P#42) DENIED; For reasons stated on the record. (Richard E.
10/10/2013		Welch III, Justice). Copies mailed
10/17/2013		Court Reporter JAVS Essex CtRm 4 Lawrence is hereby notified to
10/17/2013		prepare one copy of the transcript of the evidence of 10/10/20139CD
10/17/2013		SENT TO OTS FOR PROCESS)
10/21/2013		

10/31/2013		RE-ISSUED REQUEST Court Reporter JAVS Essex CtRm 4 to prepare one copy of the transcript of the evidence of 10/10/2013
10/31/2013		CD SENT TO OTS FOR PROCESS)
11/06/2013	56	MOTION by Commonwealth: to quash summons for Captain Robert Irwin
11/06/2013		MOTION (P#56) Commonwealth claims "worth product" and "privilege" but
11/06/2013		has not show that either applies to Captain Irwin's testimony
11/06/2013		regarding statements made to him by Ms. Dookan. DENIED as to that
11/06/2013		evidence. (Mary-Lou Rup, Justice). Copies mailed
11/06/2013	57	Defendant's Motion in Limine for voire dire regarding prior bad act
11/06/2013	57	evidence
11/06/2013		MOTION (P#57) Voire dire will be conducted before first of these
11/06/2013		witnesses testifies. (Mary-Lou Rup, Justice). Copies mailed 11/6/2013
11/06/2013	58	Defendant's Motion in Limine to exclude physical evidence and drug
11/06/2013	58	analysis
11/06/2013		MOTION (P#58) No action at this time as Commonwealth represents it
11/06/2013		will not offer evidence of the twist or analysis. Defendant will
11/06/2013		renew this motion if Commonwealth offers this evidence. (Mary-Lou
11/06/2013		Rup, Justice). Copies mailed 11/6/2013
11/06/2013		MOTION (P#45) No action taken at this time. (Mary-Lou Rup, Justice).
11/06/2013		Copies mailed
11/06/2013		MOTION (P#47) DENIED. I will permit testimony by trooper Racki (a
11/06/2013		non-percipient witness), in my discretion, to the extent that his
11/06/2013		testmony is in general terms regarding conduct of distribution level
11/06/2013		gor narcotics (street value of crack cocaine, how to make crack
11/06/2013		cocaine). (Mary-Lou Rup, Justice). Copies mailed
11/06/2013		MOTION (P#51) withdrawn by defendant. (Mary-Lou Rup, Justice). Copies
11/06/2013		mailed
11/08/2013	59	MOTION by Deft: for required finding of not guilty at close of the
11/08/2013	59	Commonwealths case
11/08/2013		MOTION (P#59) denied (Mary-Lou Rup, Justice). Copies mailed
11/12/2013	60	Verdict of guilty as charged recorded 11/12/2013 @ 11:05 PM
11/12/2013	61	Memo of Trial filed
11/12/2013	61	Defendant sentenced to Not less than eight years and not more than
11/12/2013	61	eight years and one day MCI Cedar Junction Committed ; 2401 days
11/12/2013	61	credit; notice of right to appeal given (Mary-Lou Rup, Justice)
11/12/2013		Drug fee waived(Mary-Lou Rup, Justice)
11/12/2013		Victim Witness Fee and Drug Assessment Fee: waived
11/12/2013		Sentence credit given as per 279:33A: 2401 days
11/12/2013	62	Motion to Dismiss Due to Lost or Destroyed Evidence or in the
11/12/2013	62	Alternative to Exclude Reference to Lost or Destroyed Evidence; (62A)
11/12/2013	62	Affidavit of Counsel; (62B) Memorandum in Supoport of Motion
11/12/2013		MOTION #62: As to the extra ordinary remedy of dismissal, the
11/12/2013		

11/12/2013		defendant has not met his burden. The Commonwealth represents that
11/12/2013		the items in question were destroyed following the defendant's guilty
11/12/2013		plea in 2008. Therefore, dismissal as a sanction is denied. With
11/12/2013		regard to photographs of plate and scale, those photographs will be
11/12/2013		excluded. Any testimony regarding scale will be excluded. M. L. Rup,
11/12/2013		Justice 11/5/13
11/12/2013	63	Defendant's Witness List
11/12/2013	64	Request for Jury Instructions filed by Defendant
11/12/2013	65	MOTION fo Required Finding of Not Guilty at Close of All of the
11/12/2013	65	Evidence filed by defendant and denied 11/8/2013
11/12/2013	66	Question to Jury from the Court: "Do you wish to suspend your
11/12/2013	66	deliberations at this time and resume your deliberations again
11/12/2013	66	Tuesday at 9:00 AM?" Response: "No, If we have a decision by 4:45 we
11/12/2013	66	will announce it. If no decision will return Tuesday AM." Dated
11/12/2013	66	11/8/2013
11/12/2013	67	ORDERED: Sentencing waiver of Drug Assessment Fee and Victim Witness
11/12/2013	67	Fee Dated 11/12/2013 (Mary-Lou Rup, Justice)
11/12/2013	68	Defendant's MOTION for Stay of Execution Pending Appeal, filed
11/12/2013	68	11/12/2013: No action taken at this time, at defendant's request.
11/12/2013	68	Dated 11/12/2013 (Mary-Lou Rup, Justice)
11/12/2013	69	NOTICE of APPEAL FILED by Angel Rodriguez on 11/12/2013
11/12/2013		File and Exhibits (with the exception of Exhibit 6 - see exhibit log
11/12/2013		at Lawrence) returned to Salem Superior Court on 11/12/2013
11/12/2013		RE Offense 1:Guilty verdict
11/13/2013	70	Return of Exhibits: Exhibit #6 (Class B subst.) returned to Detective
11/13/2013	70	Neil Perrocki, Lawrence Police Department on 11/13/2013
11/13/2013		Court Reporter JAV Essex CV CtRm 3 Lawrence is hereby notified to
11/13/2013		prepare one copy of the transcript of the evidence of 11/05-12/2013
11/13/2013	71	Corrected mittimus issued on 11/13/2013 (noting "over 100 grams"
11/18/2013	72	Notice of appeal from sentence to Cedar Junction MCI (Walpole) filed
11/18/2013	72	by Angel Rodriguez
11/18/2013	73	Letter transmitted to the Appellate Division. All parties notified
11/18/2013	73	11/20/2013.
12/10/2013		Transcript: JAVS-3 Lawrence Superior DVD/CD (11/5 11/6 11/7 11/8
12/10/2013		11/12/13) sent to OTS for Process
12/11/2013	74	Appearance of Deft's Atty: Patrick Levin, CPCS

---

## Charges

---

1 Charges for Docket: ESCR2007-00875

No.	Charge Description:	Indictment:	Status:
-----	---------------------	-------------	---------



---

© Copyright, Massachusetts Administrative Office of the Trial Court, 2000 - 2001.



The Official Website of the Essex District Attorney's Office

## Essex District Attorney's Office Jonathan Blodgett

[Home](#) [Media](#) [Press Release Archives](#) ["Dookhan" Defendant Convicted of Trafficking Cocaine](#)

For Immediate Release - November 12, 2013

### Media Contact

978-745-6610 ext. 5079

## "Dookhan" Defendant Convicted of Trafficking Cocaine

Angel Rodriquez, 49, who moved to withdraw his guilty plea because Dookhan was the primary chemist in his case, was found guilty by a jury of trafficking over 100 grams of cocaine in Lawrence Superior Court today. Judge Mary-Lou Rup sentenced him to eight years to eight years + one day in prison.

Rodriquez, who is from Lawrence, pleaded guilty to the lesser offense of trafficking over 28 grams of cocaine on January 29, 2008. He was sentenced to serve five to seven years in state prison. On May 29, 2013, Rodriquez's request to withdraw his guilty plea was allowed based on the fact that Annie Dookhan was the primary chemist on his case.

Essex Assistant District Attorney Ashlee Logan proved that Rodriquez possessed possession of over 100 grams of cocaine and had the intent to traffic it on the fact that the State Police Crime Lab re-tested and confirmed that the substance was in fact cocaine and it weighed in excess of 100 grams.

"Since the information about Ms. Dookhan's conduct at the Hinton LaSalle Correctional Institution came to light, this office has carefully reviewed each and every case in which she was involved to ascertain the facts," Essex District Attorney Jonathan Blodgett said. "In this case, as in many others, the drugs were still available to be re-tested. It is for that reason that I have rejected the wholesale argument that a defendant should be acquitted simply because Ms. Dookhan had some involvement in their case."

Rodriquez was represented by Attorney Victoria Ranieri and received credit toward his sentence.

-30-

-30-

[Site Policies](#)

# EagleTribune.com, North Andover, MA

*November 12, 2013*

## Dookhan defense fails for city drug trafficker

*By Warren Talbot*

**wtalbot@eagletribune.com**

---- — LAWRENCE — A Lawrence man accused of drug trafficking decided to take his chances with a new trial after it became known that former state lab worker Annie Dookhan was the primary chemist in his case.

That decision backfired on Angel Rodriquez, when a jury in Lawrence Superior Court yesterday found him guilty of trafficking over 100 grams of cocaine and Judge Mary-Lou Rup sentenced him to eight years to eight years and one day in state prison.

Rodriquez, 49, withdrew his guilty plea because his case was one of about tens of thousands handled by Dookhan, accused of tampering with evidence in drug cases brought to the state's Hinton lab in Boston.

Rodriquez had pleaded guilty to the lesser offense of trafficking over 28 grams of cocaine on January 29, 2008. He was sentenced to serve five to seven years in state prison. On May 29, 2013, Rodriquez's motion to withdraw his guilty plea was allowed based on the fact that Dookhan was the primary chemist on his case.

Essex Assistant District Attorney Ashlee Logan proved that Rodriquez was in possession of over 100 grams of cocaine and had the intent to traffic it, based on the fact that the State Police Crime Lab re-tested and confirmed that the substance was in fact cocaine and it weighed in excess of 100 grams.

Authorities have said Dookhan tested more than 60,000 drug samples involving 34,000 defendants at Hinton state lab. State police closed the lab last summer, months after Dookhan's resignation during an internal probe by public health officials.

At least 337 state prison inmates have been released as a result of Dookhan's case, a spokesman for the state Executive Office of Public Safety and Security said Friday.

"Since the information about Ms. Dookhan's conduct at the Hinton Lab came to light, this office has carefully reviewed each and every case in which she was involved to ascertain the facts," Essex District Attorney Jonathan Blodgett said yesterday. "In this case, as in many others, the drugs were still available to be re-tested and confirmed that this defendant was in fact trafficking cocaine. It is for this reason that I have rejected the wholesale argument that a defendant should be released simply because Ms. Dookhan had some involvement in their case."

Rodriquez was represented by Attorney Victoria Ranieri and received 2,401 days credit toward his sentence.

Meanwhile, Dookhan, 35, of Franklin, is scheduled to go on trial Jan. 6.

# State fires chemist after probe casts doubt on credentials

By Milton J. Valencia and John R. Ellement | GLOBE STAFF NOVEMBER 26, 2013

The drug analyst who was fired for misstating her credentials allegedly falsely testified in federal court as recently as August that she has a degree in chemistry and possibly did so in dozens of state court cases as well, opening the door for a flood of new legal challenges related to the Hinton drug lab scandal.

The analyst, Kate Corbett, was fired by the State Police Friday for allegedly asserting that she holds a degree in chemistry from Merrimack College, though investigators determined that her degree is in sociology.

Corbett has not been accused of tampering with evidence, a charge that led to the conviction of Annie Dookhan, the woman at the center of the lab scandal.

But Corbett's declarations in court that she is an expert with a chemistry degree could potentially derail convictions in those cases, say legal analysts, who say her testimony would be tainted.

Dookhan, 36, was sentenced to 3 to 5 years in prison Friday after being convicted of, among other charges, lying about her resume in court.

"It gives her [Corbett] a lot of credibility she is not entitled to," said Stephen Weymouth, a veteran Boston defense attorney, who was speaking generally and does not have any cases related to the analyst.

He said any false statements are compounded by Corbett's connection to the now-closed Hinton laboratory in Jamaica Plain, which was run by the state Department of Public Health and has come under scrutiny for failing to follow basic standards.

"That would give me concerns," Weymouth said, adding, "I think that defendants who were convicted have nothing to lose by filing a motion for a new trial, by saying this is newly discovered evidence that taints the trial and prejudices the jury against the defendant."

Weymouth and other defense attorneys have already argued that state officials should investigate all of the work by chemists at the Hinton lab, totaling about 190,000 cases, beyond the investigation into Dookhan's work. They are anticipating the state inspector general's audit of the laboratory, which is slated to be released in January.

"What this underscores is the critical importance of a thorough and complete investigation of the [Hinton] lab," said J. Martin Richey of the federal public defender's office in Boston, who handled at least one case Corbett testified in. "The system is clogged, and a lot of people are awaiting the results of this investigation, to see what claims they have, and it bears scrutiny."

Joe Dorant, president of the Massachusetts Organization of State Engineers & Scientists, said in an interview Monday that Corbett is challenging her firing and maintains that she has proper credentials.

"She is a highly competent chemist that has given seven good years of her life to public service in the Commonwealth of Massachusetts, and anyone that knows her will tell you that," he said.

Corbett began working as a chemist at the Hinton laboratory in 2005. She and other analysts were placed on paid leave last year, once the investigation into Dookhan began and the lab was closed.

The State Police, which took over the lab's responsibilities, moved to transfer the chemists to its jurisdiction over recent months.

However, State Police conducted background checks on the chemists' education to ensure that the analysts met the agency's standards for accreditation, and superiors learned of the discrepancies with Corbett's education.

According to a State Police report obtained by the Globe, Corbett earned a bachelor of arts degree in sociology from Merrimack College in 2001, though she claimed on her resume that she obtained a degree in chemistry in 2003.

A State Police investigation concluded that, in the two years after she first earned the sociology degree, she took enough credits that she believed would satisfy a chemistry degree. However, according to the State Police report, Corbett assumed she had earned a second degree without confirming it with Merrimack College.

Also, according to the report, she would not have qualified for a second degree because she would have had to take an additional set of coursework to meet bachelor of science requirements.

Essex District Attorney Jonathan W. Blodgett, who also serves as president of the Massachusetts District Attorneys Association, said that he and other district attorneys learned about the concerns over Corbett last week and that they are now doing a review of each of her cases, similar to what was done with Dookhan's work.

"We are going through all our cases . . . to see if what, if any, involvement she had in our cases," Blodgett said.

He said there is no evidence at this time that Corbett tampered with evidence, but said, "At this point, the concern that has been raised is the educational qualifications of Kate Corbett."

*Milton J. Valencia can be reached at [mvalencia@globe.com](mailto:mvalencia@globe.com). Follow him on Twitter [@miltonvalencia](https://twitter.com/miltonvalencia). John R. Ellement can be reached at [john.ellement@globe.com](mailto:john.ellement@globe.com).*

© 2013 BOSTON GLOBE MEDIA PARTNERS, LLC




CERTIFICATE OF SERVICE

I, Shrutih V. Ramlochan-Tewarie, an attorney for petitioners, hereby certify that on January 9, 2014, I served the foregoing by causing copies to be mailed, by Federal Express, to the following:

Daniel F. Conley  
District Attorney for Suffolk County  
One Bulfinch Place  
Boston, Massachusetts 02114

Jonathan Blodgett  
District Attorney for Essex County  
10 Federal Street  
Salem, Massachusetts 01970



---

Shrutih V. Ramlochan-Tewarie  
Foley Hoag LLP  
155 Seaport Boulevard  
Boston, MA 02210  
(617) 832-1000

Dated: January 9, 2014.